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ABSTRACT

This publication describes a new knowledge and skill base for use in a principal preparation program. These essential skills and knowledge encompass 21 "domains," which were defined in "Principals for Our Changing Schools: Preparation and Certification" (1990). The 21 domains, organized under 4 broad themes, blend the traditional content-driven curricula with leadership, management, and process skills. The first section on functional domains addresses the organizational processes and techniques by which a school's mission is achieved. These domains include leadership, information collection, problem analysis, judgment, organizational oversight, implementation, and delegation. The second section deals with programmatic domains, which focus on the scope and framework of the educational program. They include instruction and the learning environment, curriculum design, student guidance and development, staff development, measurement and evaluation, and resource allocation. Interpersonal domains, the topic of section 3, recognize the critical value of human relationships to satisfying personal, professional, and organizational goals. These include motivating others, interpersonal sensitivity, oral and nonverbal expression, and written expression. The fourth section examines contextual domains, which reflect the environmental context in which the school operates. These include philosophical and cultural values, legal and regulatory applications, policy and political influences, and public relations. The appendix lists development team members who contributed to the sections. References accompany each section. (LMI)

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PRINCIPALS FOR OUR CHANGING SCHOOLS

Knowledge and Skill Base

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PRINCIPALS FOR OUR CHANGING SCHOOLS

THE KNOWLEDGE AND SKILL BASE

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National Policy Board for Educational Administration

Sponsored by: The American Association of Colleges for Teacher Education, The Association of School Business Officials, The Council of Chief State School Officers, The National Association of Secondary School Principals, The National School Boards Association, The American Association of School Administrators, The Association for Supervision and Curriculum Development, The National Association of Elementary School Principals, The National Council of Professors of Educational Administration, and the University Council for Educational Administration.

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ACKNOWLEDGMENTS

A project of this magnitude requires the contributions of many people. As this publication goes to press, however, I am struck by the strength of each participant's commitment to the work as well as by their total number.

The steady support of the Danforth and Geraldine Rockefeller Dodge Foundations was especially heartening. Bruce J. Anderson, President, and Gary K. Wright of the Danforth Foundation maintained an active interest in the project as well as provided essential funds. Scott McVay, President of the Geraldine Rockefeller Dodge Foundation, was personally attentive from the inception of work until its conclusion, in addition to providing fiscal support. Ronald D. Thorpe, Jr., of the Dodge Foundation encouraged our efforts, as well.

We also thank Joan Lipsitz of the Lilly Endowment for supporting the content review, publication, dissemination, and technical assistance activities important to a successful conclusion of the work.

David A. Erlandson of Texas A&M, James W. Keefe of NASSP, and Lloyd E. McCleary of the University of Utah, all from the National Commission for the Principalship, our initial planning body, provided valuable counsel throughout the project.

The framework for developing each of the 21 domains of knowledge and skills was developed by Milton D. Hakel, Regents Scholar and Professor of Psychology from Bowling Green University in Ohio, and his associates. Professor Hakel's initial guidance and his review of completed work have helped shape the domains into a concise and usable format.

The writing teams for each domain all performed admirably. Following the expected format was occasionally challenging, so credit should go to the perseverance and talents of the writing team leaders and their colleagues. These 102 persons produced quality materials. Recognition also should go to persons who reviewed draft copies of the domains to strengthen the final outcome. All writers and reviewers are credited individually at the beginning of each section.

Susan Hill, the consulting editor, contributed immeasurably to the publication, as did associate editor Beth Mende Conny, copy editor Maria Sanderleaf Sarro, and word processor Laura K. Oldham. Their ability to recast and sharpen the original manuscripts goes beyond the usual definition of editing.

Recognition also should go to Edith Collins and Sarah Scruggs, administrative assistants at the National Policy Board for Educational Administration, for efficiency and goodwill through manuscript revision and correspondence and all the other business that accompanies a major development and publication project.

The consistent interest and support of the Board of Directors of the National Policy Board for Educational Administration* was, of course, essential. For almost three years, Board members provided guidance as the project matured. A special note of appreciation goes to the immediate past and present chairs of the National Policy Board: David Imig of the American Association of Colleges of Teacher Education, Sam Sava of the National Association of Elementary School Principals, and Pat Forsyth of the University Council for Educational Administration, as well as to Tom Shannon of the National School Boards Association for advice from the inception of work.

Scott D. Thomson
September 1992

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* *American Association of Colleges for Teacher Education, Association of School Business Officials, Council of Chief State School Officers, National Association of Secondary School Principals, National School Boards Association, American Association of School Administrators, Association for Supervision and Curriculum Development, National Association of Elementary School Principals, National Council of Professors of Educational Administration, and University Council for Educational Administration.*

PREFACE

NEW CHALLENGES

The knowledge and skill base of a profession should provide a platform for practice. It also must address core professional responsibilities so that persons qualifying for practice can fulfill the essential tasks of the profession in various contexts.

The educational administration profession has found it difficult to develop a knowledge base that adequately meets these specifications. Paula F. Silver (1983), in the monograph Professionalism in Educational Administration, describes the field in these terms:

> In the service professions, . . . scholarship is almost exclusively of the applied research type and is conducted for purposes of developing techniques for solving particular problems encountered in practice. Practicing professionals can turn to the published literature in their respective fields and find the current knowledge about most problems they encounter because that knowledge is codified with reference to classes of practical problems. In educational administration, practitioners do not resort to the literature in the field because they know they will not find there current knowledge about how to solve the problems they are facing. (p.11)

Why is most of the literature of limited value to practicing elementary and secondary school administrators? Patrick B. Forsyth suggests that this is because the professional knowledge base of the school administrator differs from the academic knowledge base of those in universities who conduct research and produce scholarship on schools and school administration. Forsyth believes that claims for a knowledge base in educational administration primarily represent the expertise of these individuals. Their knowledge, however, is organized chiefly by the methods and concepts of the academic disciplines, rather than by applied professional practice. Although the educational administration field relies on a number of disciplines for concepts and methods, it depends upon practice in school settings for focus and relevance. As John Dewey has noted, educational practices form the final test of conclusions.

Recently, some progressive departments of educational administration have responded to Silver and other observers by developing preparation programs for principals and superintendents that incorporate school/university partnerships, clinical activities, and field work. Individual professors also are formulating and applying new curricula based upon problems of practice. These significant advances are sometimes offset by the tendency to focus on technical strategies (e.g., Total Quality Management or School-Based Management) or on specific competencies for individual tasks rather than on the broad knowledge and skills contemporary principals must possess for successful practice.

If principals are to fulfill their school's responsibility for meeting the educational and developmental needs of their students, they must continually initiate action and respond to problems. These initiatives and responses are often complex, ranging from implementing new state or federal legislation to resolving explosive family conflicts. Clearly, technical skill alone is insufficient; so, too, is a complete reliance on content knowledge. The heart of professional practice lies between these two poles.

New principal preparation programs must address the troublesome "clinical gap" that exists between classroom and practice, and between subject content and specific technique. To close this gap, a new starting point is required. Accordingly, the search for a knowledge and skills base should begin with the work of principals in contemporary schools. That work must first be defined and organized into identifiable, rational building blocks that are skill-rich and knowledge-rich. Next, the connections between knowledge and skills should be recognized in the many problems principals respond to and in the many tasks they initiate.

The principalship, like any professional knowledge base, does not represent simply a body of subject content. It consists of knowledge and skills organized in a useful way, preferably into work-relevant patterns that make expert knowledge functional. The professional preparation of principals, therefore, should instruct candidates broadly yet provide them—through classroom format, clinical practice, and field experience—with the practical knowledge and skills they need to address the daily challenges they will face. This approach does not preclude inquiry; rather, it channels it in beneficial directions.

Given the changing nature of the school environment, it is impossible to prepare inexperienced principals for every problem they will encounter or every initiative they will take. Therefore, priority in preparation programs should be given to generalizable knowledge and skills that address new situations and traditional patterns. For example, key interpersonal skills like oral expression or motivating others, and core functional skills like problem analysis and data-based decision making, work to a principal's advantage in solving unanticipated problems or in reversing negative developments.

The arena in which today's principals work is constantly being reshaped by societal forces and conditions. Static patterns are out; so, too, is the notion that solving today's problems automatically prepares candidates for future challenges. Accordingly, the preparation of school leaders should focus on the development of a broadly applicable knowledge and skills base that is timeless and that emphasizes knowledge and skill development rather than particular problems of practice.

NEW DIRECTIONS

John Gardner points out that institutions and professions, like human beings, require occasional renewal to avoid going to seed. The genesis of *Principals for Our Changing Schools: The Knowledge and Skill Base* was a conviction by the 10 sponsors of the National Policy Board for Educational Administration that most preparation programs for school leaders reflect a shopworn theoretical base and fail to recognize changing job requirements. These programs need a serious overhaul.

To recast preparation programs for the principalship in a more contemporary mold, the tasks of today's principals first needed to be understood better. Thus, a project was launched to segment the principalship like letters in an alphabet. Each letter, or current task, was analyzed and then placed into a revised alphabet that also incorporated emerging responsibilities caused by changing social conditions. The revised alphabet, which included the knowledge and skills essential to the tasks, allowed the building of new paragraphs to describe the contemporary principalship. This valuable exercise allowed the Policy Board to grasp the entire knowledge and skill base in a manageable way. Further, it gave the Policy Board a new perspective for analyzing the principalship on a task-by-task basis and for identifying the core knowledge and skills necessary to accomplish each task.

One clear outcome of this process was the emergence of professional skills—in addition to content knowledge—as essential to a successful principalship. The professional repertoire of principals requires *knowing how* to act as well as simply *knowing about* concepts.

All professions, be they medicine, architecture, or engineering, are composites of knowledge and skill. Unfortunately, for decades, departments of educational administration have focused on content because of university pressures to emulate the arts and sciences. This emphasis has caused a "skills phobia" to dominate the field. In addition, teaching professional skills can be costly and requires different expertise. Architecture and medicine bridge the clinical gap with apprenticeships and teaching hospitals. For preparing principals, the solution lies in simulations, scenarios and case studies, interactive media, practice in safe environments, mentorships, and field experience—all of which address to some degree the problems experienced by practitioners.

KNOWLEDGE AND SKILL BASE

This publication describes a new knowledge and skill base for the principalship and, thereby, overcomes the inadequacies of traditional preparation programs, including weak theory/practice connections. The strategy used to form a new knowledge and skills base involved viewing the principalship from two perspectives: inductive and deductive. By conducting two processes—an inductive task analysis and a deductive theoretical analysis—and integrating the results, a "bird's eye" view and a "worm's eye" view of the principalship were achieved.

The outcome constitutes the core of what principals must know and be able to do professionally. As developed by the National Policy Board, these essential knowledge and skills encompass 21 "domains," which were defined in *Principals for Our Changing Schools: Preparation and Certification* (1990). Eleven of these are process or skill oriented; 10 are more content focused; most, however, synthesize knowledge and skill. The content-rich and process-rich domains impact one another in practice. In sum, they constitute the essential repertoire of knowledge and skills required of principals for practice.

The 21 domains are a typology or convenient classification system. They are categories to better examine, understand, and prepare for the principalship. They are not discrete from one another, however. Because human behavior comes in "bunches" rather than neat packages, the domains must be viewed as overlapping pieces of a complex puzzle. Without these pieces, it is difficult to visualize the entire picture.

The domains also may be viewed as converging streams of behavior that spill over onto one another's banks but that all contribute to the total reservoir of knowledge and skills required of today's principals. Their inclusion reflects a relationship to one or more central tasks of the principalship.

Another characteristic of the domains is their variability. Some are broad; others are narrow. Some are more central to student-adult relationships; others involve adults only.

While not equals, each is related and contributes to the sum of a principal's professional knowledge and skills.

The domains are intended to be substantive rather than technical and can be applied—in groups or separately—to a wide variety of problems rather than to single issues. Their intent is not to train technicians who follow set formulae, but to develop professionals with a repertoire of understandings and skills to address routine or emergent problems of practice. For example, a principal facing a specific first amendment fracas (e.g., the student newspaper deciding to survey the use of condoms among the student body and to publish the results) would tap several domains, including "Legal and Regulatory Applications," "Public Relations," "Philosophical and Cultural Values," "Oral and Nonverbal Expression," "Written Expression," "Problem Analysis," and "Leadership."

In sum, *Principals for Our Changing Schools: The Knowledge and Skill Base* describes the foundation blocks of a preparation program for elementary, middle, and high school principals. Although it focuses on the core, or key, knowledge and skills for each domain, it does not attempt to define their individual breadth—any one domain, if examined in greater depth, would produce a major work. This publication's intent, therefore, is to define the center lane in a broad road, to identify the essential knowledge and skills for successful practice, and to encourage others to build on this work according to individual and institutional preferences and state licensing requirements.

USING THE DOMAINS

How can this publication be applied to pre-service education and the professional development of principals and assistant principals? How can it be used for state licensure or certification? First, it should be viewed as a point of departure, not a point of arrival. Its loose-leaf form encourages users to add to or subtract from it, and to merge or dissect its pieces according to group purposes and needs. After all, events move rapidly in educational administration, requiring frequent revisions of practice and licensure. Professional requirements also tend to be situational. This publication is intended to be a flexible and reliable resource document for all user groups. It should be adaptable to local or regional requirements, however idiosyncratic.

Given its flexible design, *Principals for Our Changing Schools: The Knowledge and Skill Base* also may serve as the template for preparation, inservice, or certification programs. To the question, "Can I formulate a preparation or certification program based on the domains?" the answer is "Yes." Although the domains are not intended as separate courses, they can be tapped as strands of a cross-disciplinary program, or for a problems-of-practice approach. The purpose of problem-based learning is to acquire an integrated body of content related to a general problem and to develop skills to solve it. Whether using this or an integrated studies approach, the domains serve as a comprehensive knowledge and skills resource base.

Principals looking for professional development activities, and state bodies desiring to strengthen certification requirements, should find the publication useful as well. For practicing administrators, the interpersonal skill and instructional program domains may be especially helpful, filling gaps in earlier preparation. The National Policy Board also encourages state certification bodies to consider the domains as a comprehensive framework for a two-level performance-based approach to certification involving entry licensure and advanced professional certification. The advanced level could be required within three or four years of initial entry to the field. Some states (e.g., Tennessee and Florida) currently use a two-tier licensure program for principals.

A central advantage of an entry level/advanced level certification plan is that more rigorous professional standards can be accommodated within a single comprehensive framework. Some knowledge and skills would be required for initial licensure; the balance would be required for continued practice.

Whether for preservice, inservice, or certification, planning groups can use the 21 domains to develop materials and strengthen outcomes. Other knowledge or skill areas may be added, but they comprise the most comprehensive description currently available of the core knowledge and skills required for the principalship. While plans for any endeavor should be considered carefully before acting, General George C. Marshall has observed that a good plan today is worth more than a perfect plan tomorrow. The domains offer a good plan for the 1990s.

DEVELOPMENTAL DESIGN

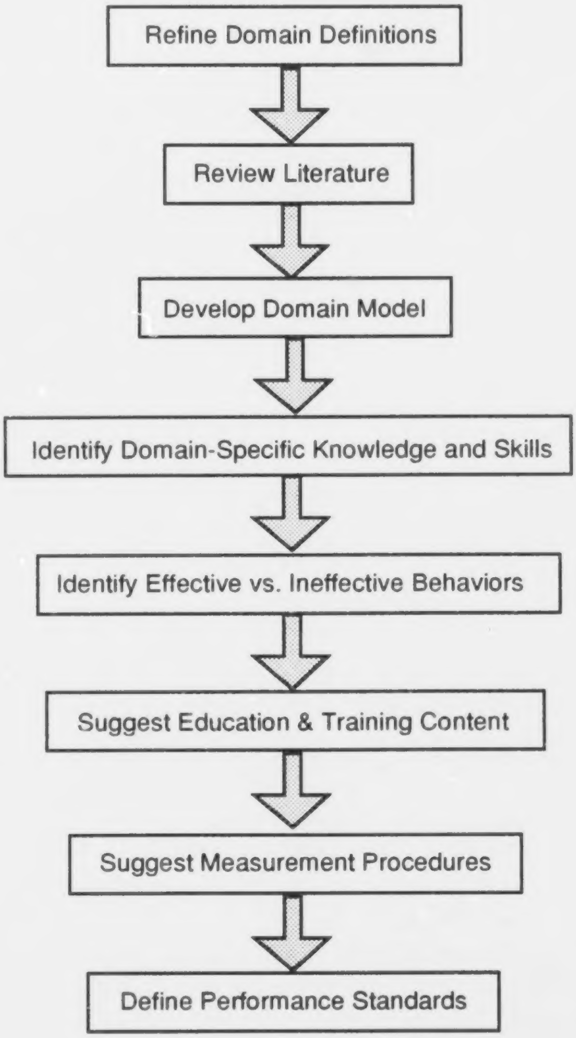
The design process for the domains is described in the earlier publication, *Principals for Our Changing Schools: Preparation and Certification* (1990, pp. 17–19, 35). Briefly, it includes:

- conducting a task analysis of the principalship;
- convening focus groups to identify the knowledge and skills necessary to perform the tasks;
- identifying the knowledge and skills theoretically essential to the principalship, utilizing a conceptual model developed at the Texas A&M Principals Center;
- integrating the outcomes of the two approaches; one inductive and task driven, and the other deductive and theory driven, to develop an initial list of 19 performance domains;
- distributing the initial list of domains to a national Jury of 50 prominent educators and nominated principals, superintendents, and professors for their comment;
- consolidating the recommendations of the Jury of 50 to revise the domains; and
- redistributing the revised domains to the Jury, receiving more comment, and making adjustments.

The final 21 domains, organized under four broad themes, blend the traditional content-driven curricula with leadership, management, and process skills to create a new framework for preparing and certifying principals.

Following publication of these materials, writing teams were appointed to develop each of the 21 domains. The teams included principals and academicians working together, with instructions to follow a specific process in formulating the statement of core knowledge and skills for each domain. A schematic of the process is outlined on the next page.

PROCESS FOR DOMAIN SPECIFICATION


Refine Domain Definitions
Review Literature
Develop Domain Model
Identify Domain-Specific Knowledge and Skills
Identify Effective vs. Ineffective Behaviors
Suggest Education & Training Content
Suggest Measurement Procedures
Define Performance Standards

The work of each writing team was reviewed for content by two or more persons before final editing. Writing team members are identified on the initial page of each domain, and again alphabetically in Appendix A.

The domains project began with the question, "What are the tasks and expectations and responsibilities of the elementary, middle, and high school principal today and in the near future?" The project then identified the knowledge, skills, and attributes required of principals to meet these challenges, not just reactively but with foresight and initiative, allowing principals to go beyond problem recognition and analysis to planning, action, and resolution. When adequately learned, clinically rehearsed, and applied to field settings, this knowledge and skills base will provide schools with the leadership necessary to strengthen faculty performance, stimulate community engagement, and improve student outcomes.

Scott D. Thomson
September, 1992

I. FUNCTIONAL DOMAINS

These domains address the organizational processes and techniques by which the mission of the school is achieved. They provide for the educational program to be realized and allow the institution to function.

LEADERSHIP

DOMAIN 1

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LEADERSHIP

DEFINITION

Leadership: Providing purpose and direction for individuals and groups; shaping school culture and values; facilitating the development of a shared strategic vision for the school; formulating goals and planning change efforts with staff and setting priorities for one's school in the context of community and district priorities and student and staff needs.

Leadership shapes the quality and character of institutions. In this broad sense, school leadership requires understanding the principles and becoming proficient in the skills of all 21 domains. Yet the term *leadership* has a narrower meaning, too, one that focuses on the principal's function as provider of school purpose and direction.

LITERATURE REVIEW

The literature defines leadership as a direction-setting task. People who lead engage in "visioning" (Kouzes & Posner, 1988; Sashkin, 1988), "purposing" (Sergiovanni, 1990), and "agenda setting" (Kotter, 1988). At the core of these descriptions is the principal's role in the development of shared strategic visions for their schools. Shared visions are the basis of a school's culture and values (Deal & Peterson, 1990; Sergiovanni, 1990), which suggests that leaders are people who facilitate the development of shared visions and thus create desired changes in culture and values.

These new perspectives must be followed by formulation and application of the change process to move the organization toward its vision, accomplish purpose, establish priorities, and strengthen culture. Leader as facilitator for change is a well-documented role in the literature (Egan, 1988; Hall & Hord, 1987) and provides a useful model for training principals.

SCHOOL CULTURE AND VALUES

The concept of culture was first developed by anthropologists to describe the shared customs, beliefs, and traditions that differentiated one society, or group, from another. The term has been borrowed by other social scientists to describe the similar, but more limited, phenomenon that occurs within organizations (Deal & Peterson, 1990).

Organizational culture often has been described as "the character of an organization" or "the way we do things around here." Schein (1985, p. 6) defined it more succinctly as "basic assumptions and beliefs that are shared by members of an organization, that operate unconsciously, and that define in a basic 'taken-for-granted' fashion an organization's view of itself and its environment." Values and norms emerge from the culture and guide employee behavior.

Culture has several important aspects: It is manifested in the way members think and behave, it is shared, and it is learned (Duncan, 1989). Research in both corporations and schools suggests that a strong positive culture is linked to productivity (Deal & Peterson, 1990). Two important features of a positive school culture are valuing collaboration and acting in ways that are most beneficial to students (Fullan, 1992; Leithwood, 1992). Thus, although culture may appear to be an intangible phenomenon, it is important for principals to understand local school values and to become skilled at shaping school culture in positive ways.

To shape a positive culture, principals first must have a well-developed educational philosophy of their own as well as high expectations for staff and students. They must work closely with staff to examine the assumptions and beliefs that underlie their schools' educational value system and to develop strategies that create a more positive culture.

Principals communicate and strengthen culture and values by:

- using celebrations, ceremonies, traditions, stories, and metaphors;
- demonstrating organizational values through modeling;
- aligning reward systems with organizational values; and
- developing strategies and processes for selecting and socializing new school members.

SHARED STRATEGIC VISION

High performing organizations know why they exist, and their members have amazingly similar mental images of what they want to achieve (Vaill, 1984). This shared vision is the force that bonds students, teachers, and others together in a common cause (Sergiovanni, 1990). Accordingly, principals need to be skilled at creating and gaining commitments to broad, long-range visions for their schools.

Principals begin this process by involving important school constituencies in vision development—encouraging them to articulate their hopes and dreams and to see future possibilities. Principals realize that conflict among different constituents is a normal and inevitable part of this process, and they develop positive strategies for dealing with it.

In facilitating the vision-creation process, principals use their expertise and understanding of trends and probable future events to influence the shared vision and to ensure that it is clear, active, and ambitious. Even when a shared vision has been articulated, principals must continually enlist support for it from the district, the community, and the staff.

FORMULATING IMPROVEMENT EFFORTS

Vision defines the desired state that a school is working toward. Because present reality often falls short of that vision, school improvement strategies and goals are needed to move toward the vision. Principals are the best and most likely candidates within their schools to lead these efforts (Hall & Hord, 1987).

Working with staff, principals establish a systematic procedure for developing organizational strategies and goals. This may require that they change organizational structures, policies, or practices. In addition, they must serve as systems thinkers, helping others see the "big picture" (Senge, 1990a). In addition, principals must serve as innovators who encourage and recognize new ideas that have potential for improving both the process and the outcome (Kouzes & Posner, 1988).

More specifically, principals and staff must:

- identify discrepancies between actual and desired outcomes for the school;
- set goals to help close the gap;
- develop strategies for accomplishing goals, including making organizational changes;
- prioritize goals; and
- communicate goals and change efforts to the entire school community.

THE PROCESS MODEL

Principals give their schools purpose and direction by developing a shared strategic vision, shaping school culture and values, and formulating school improvement efforts. (See Fig. 1-1.) Principals do not perform these tasks in isolation, but rather serve as facilitators, eliciting the involvement of stakeholders and ensuring that such efforts are carried out.

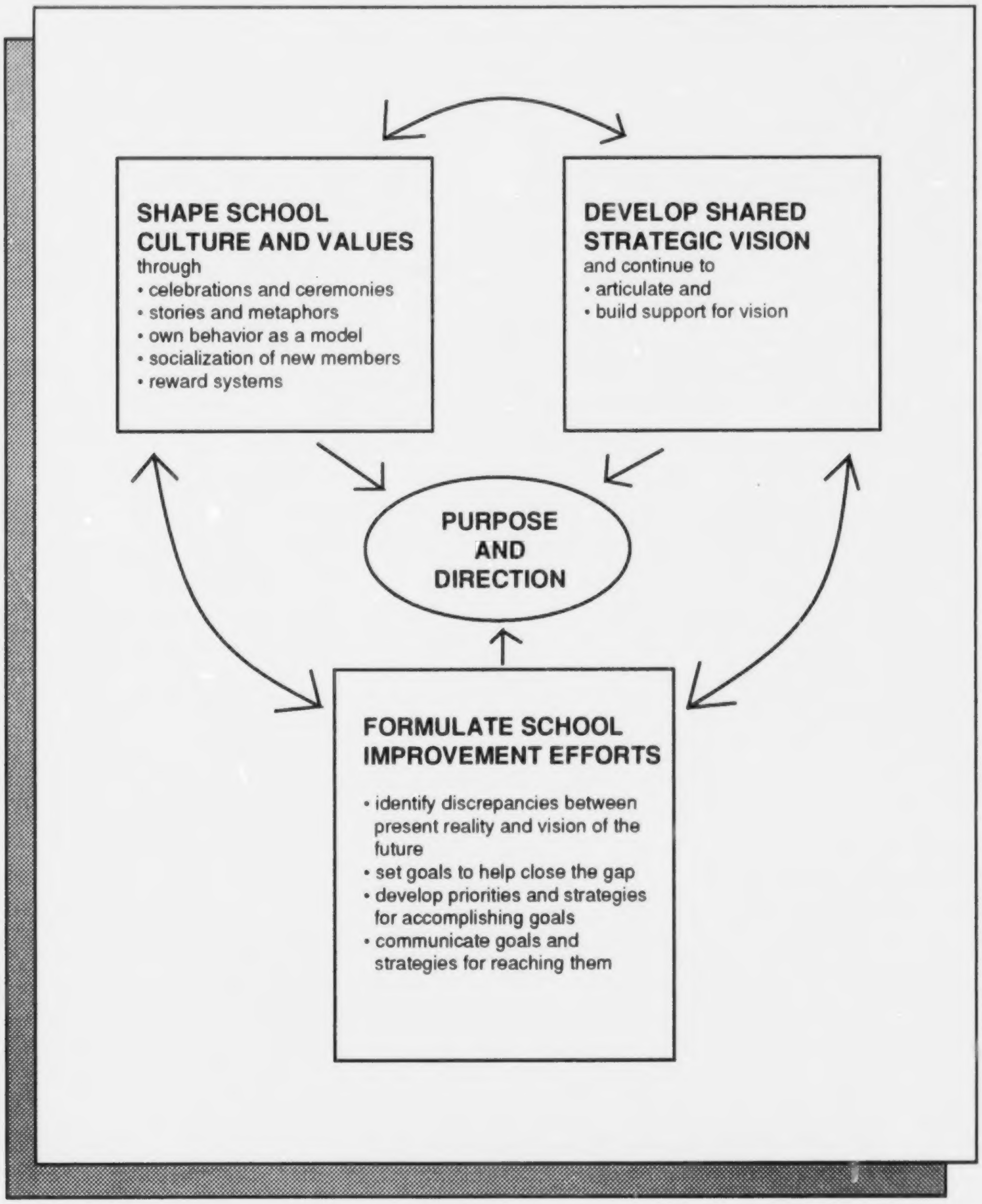
SHAPE SCHOOL CULTURE AND VALUES
through
• celebrations and ceremonies
• stories and metaphors
• own behavior as a model
• socialization of new members
• reward systems
DEVELOP SHARED STRATEGIC VISION
and continue to
• articulate and
• build support for vision
PURPOSE AND DIRECTION
FORMULATE SCHOOL IMPROVEMENT EFFORTS
• identify discrepancies between present reality and vision of the future
• set goals to help close the gap
• develop priorities and strategies for accomplishing goals
• communicate goals and strategies for reaching them

FIG. 1-1

According to some recent popular writings, leadership is defined as doing what a leader wants done (Rost, 1991). As a process, however, it is more influential when leaders *and* followers are active participants. Although principals must have a clear personal vision for their schools, their vision does not necessarily become *the* vision for their organizations; rather, it is altered by the visions of others, for personal vision alone lacks credence to provide purpose and direction for an entire school.

KNOWLEDGE AND SKILLS

Strong leaders shape school culture and values, develop shared strategic visions, and formulate improvement efforts by performing specific tasks. They understand the behaviors that support and interfere with effective leadership. These behaviors are examined in more detail below.

SHAPING SCHOOL CULTURE AND VALUES

Well Developed Educational Philosophy: Effective principals hold an image of the educated person as a self-motivated, self-directed learner (Leithwood & Montgomery, 1986). They view students as "knowledge workers," individuals who are learning how to put knowledge to work to create and to solve problems in an increasingly information-based society (Schlechty, 1990). They believe that their instructional programs are their school's highest priority and, therefore, focus their efforts on learning outcomes.

High Expectations: Effective principals maintain high internal work standards. They have high expectations for students and staff and communicate those expectations to individuals within and outside of their schools.

Understanding School Culture: All principals step into an existing culture when they assume their positions. To understand that culture, they must talk to students and staff, watch ongoing behaviors and rituals, and examine existing documents and records to discover the values that guide school decisions and behaviors. Among other questions, principals need to ask: What do people consider to be significant events within the school? How is conflict handled? Who are the school's recognized heroes and villains? What behaviors have been rewarded in the past? (Deal & Peterson, 1990).

Facilitating Shared Understanding of Culture and Values: Effective principals work to build consensus among staff on the guiding beliefs and values of their schools. Principals share their perceptions of these beliefs and values with staff to see if staff concur. This is accomplished through forums in which staff talk to one another about underlying school values. The principal's role in these discussions is to paraphrase and clarify what is said and to challenge staff to distinguish between what they identify as school values (espoused theory) and the values that actually are enacted through school policies, resource allocation, and individual behaviors (theories-in-use).

Reflecting School Culture in Personal Behavior: Effective principals ensure that their behavior is consistent with the values they espouse. They look for opportunities to communicate important values (e.g., in the kinds of questions they ask students and staff or in the kinds of activities they focus on). Their office location and decor also reflect these values. During times of stress or crisis, their behavior continues to be consistent with shared organizational values.

Communicating Values in Symbolic Ways: Effective principals participate in, initiate, and encourage others to inaugurate ceremonies and rituals that celebrate important organizational values. They tell stories that demonstrate shared values. Their language makes use of metaphors and other figures of speech that communicate what the organization believes in.

Aligning Reward Systems with Values: Who gets rewarded and why they are rewarded are statements of the organization's culture and values (Kerr & Slocum, 1987). Principals need to ensure that staff performance criteria reflect desired organizational values and that rewards are consistently linked to these criteria.

Selection and Socialization of Staff: When selecting staff, effective principals look for evidence that the values of potential staff members will mesh with those of the school. This evidence is available through professional references, responses to interview questions, etc. Principals also develop procedures for familiarizing new school members with the organization's culture and values via training programs, meetings with the principal, pairings with experienced staff members, etc.

Effective and Ineffective Behaviors in Shaping School Culture and Values: The following behaviors are presented as examples and are not intended to be exhaustive.

Effective behaviors of principals include:

- gaining staff consensus on beliefs to guide decision making within the school;
- communicating the belief that all teachers and students have the potential to achieve;
- holding celebrations to show appreciation for teachers;
- developing student recognition awards; and
- asking for staff feedback on

whether or not decisions are congruent with school values.

Ineffective behaviors of principals include:

- communicating varying values and attitudes to different groups of constituents; and
- not being visible to staff.

DEVELOPING SHARED STRATEGIC VISION

Future Orientation: Effective principals stay up-to-date on educational trends and innovations. They are knowledgeable about what experts have to say about changes in demographics, technology, employment, and family issues, and the impact these changes may have on the educational needs of children.

Personal Sense of Vision: Effective principals have a personal vision of what their schools can achieve. They draw on their expertise, knowledge, previous experience, and intuition to form mental images of what their schools can and should be.

Understanding the Vision of Others: To be inspiring, a school vision must tap into the hopes and dreams of staff, parents, and students. Principals, therefore, must get to know these individuals and encourage them to articulate their hopes and dreams.

Facilitating the Vision-Building Process: Principals are responsible for developing a process by which individual visions are expressed, common hopes and aspirations are discovered, and a shared school vision is forged. This is accomplished through a series of dialogues and meetings. To manage the dynamics of such interactions, principals must establish ground rules that encourage the involvement of all participants and keep group members on track. Although principals should ask questions that clarify, prod, and elicit new ideas, they also must create a climate in which people can express their ideas without fear of being criticized or ridiculed. During these dialogues and meetings, principals should not refrain from expressing their personal visions; rather, they should actively share their hopes for the future.

Conflict Management: Effective principals bring conflict or dissent out into the open and encourage productive discussions to reach solutions. They help individuals clarify the nature of the conflict and help them find a common ground and a collaborative solution. They also may seek a neutral third party to lead discussions on topics about which there is a great deal of conflict.

Maintaining Support for the Vision: Through newsletters, speeches, and informal contacts, principals keep reminding staff, students, parents, and the community of the school's vision. Demonstrating enthusiasm and energy for the vision, they explain to others the convictions and the reasoning that led to its creation and remind stakeholders how they will benefit from it.

Effective and Ineffective Behaviors in Developing Shared Strategic Vision: The following behaviors are presented as examples and are not intended to be exhaustive.

Behaviors of effective principals include:

- reading professional publications to keep abreast of new ideas and trends;
- seeking parent involvement in developing a strategic vision;
- sharing the school vision with others through the school's publications; and
- when meeting new staff members, asking what their hopes for the future are.

Ineffective behaviors of principals include:

- showing a great deal of anxiety when staff members disagree; and
- allowing staff to develop a vision for the school without providing much input.

FORMULATING IMPROVEMENT EFFORTS

Organizational Goal-Setting: Principals must be able to lead organizations through a goal-setting process in which improvement areas are identified and actions for change are initiated. This process involves working with staff to identify discrepancies between current and desired outcomes, setting and prioritizing goals to help close the gap, developing improvement strategies aimed at accomplishing goals, and communicating goals and change efforts to the entire school community. Principals must insist that goals be specific, realistic, and clear, and that they include achievement indicators, assigned responsibilities, action steps, and resources.

Fostering Innovation: Effective principals invite staff members to initiate ideas for improving their schools and educational programs. They acknowledge imaginative solutions and innovative approaches and work to implement those that are promising. They are willing to take risks when it comes to finding better ways to do things. They routinely examine school policies and procedures to ensure that neither stymies innovation.

Managing Transition: Using various management strategies and interpersonal styles, effective principals manage the stages through which individuals and organizations pass as they experience change. They examine leadership options and apply those likely to be effective under given sets of conditions. They create communication mechanisms. They are aware of the forces that may enhance or hinder change underway and act to remove roadblocks. They determine the people who are affected by current initiatives and develop strategies for working with key players. They mark stages of progress by recognizing appropriate persons or groups.

Systems Thinking: Effective principals understand that their schools are composed of several interrelated systems, which are themselves part of a larger system (e.g., the school district or the community). They appreciate that changes in any one system—the compensation or grading system, for example—affect other areas of the school. Accordingly, they have well developed cognitive maps of the factors that influence teaching and learning. These principals look for underlying problems that need attention rather than at treatment of the symptoms. They also are aware of larger systems and understand how to work within these systems.

Effective and Ineffective Behaviors in Formulating Improvement Efforts: The following behaviors are presented as examples and are not intended to be exhaustive.

Effective behaviors of principals include:

- overseeing an annual process for setting personal, project, department, and school goals;
- articulating how changes in one aspect of a school's program affect other school activities;
- challenging the staff to work consistently toward identified outcomes;
- encouraging teachers to come up with new ideas for curricular improvement;
- seeking additional resources from the district and elsewhere to carry out improvement plans;
- monitoring progress and recognizing key players; and
- developing and nurturing the leadership capabilities of others.

Ineffective behaviors of principals include:

- ignoring new district-level initiatives in setting school goals; and
- allowing staff to formulate goals that are vague and for which no one has defined responsibilities.

PERFORMANCE STANDARDS

To be competent in the leadership domain, principals should be able to:

1) articulate a personal vision for their school and a well developed educational philosophy and set high standards for themselves and others;

2) gain insights into a school's culture and school members' personal hopes and dreams;

3) apply knowledge of socioeconomic and educational trends, innovations, and new paradigms to schools and assess how each might affect schools in the future;

4) influence and strengthen school culture by modeling core values, communicating values in symbolic ways, aligning reward systems with values, and selecting and socializing new members;

5) facilitate direction-setting processes within schools that require a high degree of member participation (e.g., assessing current school culture and values, building a school vision, developing organizational goals and strategies);

6) view their schools as a series of systems, as well as a system within a larger system (e.g., the school district or community);

7) foster innovation within their schools;

8) facilitate the development of school improvement efforts; and

9) utilize the leadership skills of staff and students to plan and implement the change process.

EDUCATION AND TRAINING

Education and training for developing leadership knowledge and skills include:

- self-examination of values, beliefs about education, and school vision;
- concepts and models for understanding the leader's role in shaping culture and values; development of a shared strategic vision; and formulation of change efforts;
- application of these concepts and models to personal situations;
- exposure to educational trends and new paradigms; and
- skill-building in facilitating participative group processes, systems thinking, and innovation.

SELF-EXAMINATION

Understanding one's beliefs and motivations, and receiving objective feedback are cornerstones of leadership development. Exercises that provide structured reflection in the following areas are a desirable part of training efforts:

- values (see Rokeach's Value Survey, 1973, or Figs. 1-2 and 1-3, as examples);
- beliefs about education (see Fig. 1-4); and
- school vision (see Fig. 1-5).

CONCEPTS AND MODELS

Trainers can use the model presented in Fig. 1-1 as a framework for presenting the important concepts of this domain. Trainers can then go into greater depth for each of the three areas—1) shaping organizational culture and values, 2) developing a shared strategic vision, and 3) formulating change efforts—by adapting models, examples, and cases from additional sources.

For the first area, these sources include: *The Principal's Role in Shaping School Culture* (Deal & Peterson, 1990),*Value-Added Leadership* (Sergiovanni, 1990), and *Organizational Culture and Leadership* (Schein, 1985).

For the second area, sources include: *The Leadership Challenge*, chapters 5 and 6 (Kouzes & Posner, 1988), *Creating Shared Vision* (Parker, 1990), and *The Fifth Discipline: The Art and Practice of the Learning Organization*, chapter 11 (Senge, 1990b).

For the third area, sources include: *Change in Schools: Facilitating the Process* (Hall & Hord, 1987) and *Change-Agent Skills* (Egan, 1988).

APPLICATION TO PERSONAL SITUATIONS

Exercises that apply these models and concepts to real-life leadership situations contribute to further understanding of this domain. Trainees can be asked to:

- receive and interpret feedback about current school culture via instruments like NASSP's (1990) *Comprehensive Assessment of Educational Environments* or Saskin and Sashkin's (1993) Organizational Culture Survey, both of which should be completed by subsets of the school staff;
- develop strategies for making personal values and behavior more congruent;
- analyze the values conveyed by the current metaphors and symbols used in one's school;
- develop action plans for new ways to use symbolic actions to shape organizational values;
- create a set of questions and pose them to other students to learn more about the culture of their schools;
- receive feedback from others

VALUES WORKSHEET

Working with the values provided (you may add your own if desired), check (✓) the five top values that (1) you hold and (2) are part of the organization's tradition.

VALUES	1 PERSONAL	2 ORGANIZATION'S
Achievement (sense of accomplishment mastery)		
Advancement (promotion)		
Autonomy (independence, freedom)		
Authority (power, control, influence over others)		
Commitment (follow-through)		
Challenge (risk-taking, adventure, new experiences)		
Creativity (being imaginative, innovative)		
Excellence (quality work)		
Financial success (economic security; steady, adequate income; wealth)		
Friendship (close relationships with others, caring)		
Health (physical and mental well-being)		
Helping others (involvement, belonging, improving society)		
Integrity (honesty, sincerity, standing up for beliefs)		
Leading others (responsibility, accountable for results)		
Loyalty (duty, respectfulness, obedience)		
Making a difference (contributing to individual/organizational success)		
Order (tranquillity, stability, conformity)		
Personal development (doing one's best, use of potential)		
Pleasure (fun, laughs, leisurely life-style)		
Recognition (respect from others, status)		
Responsibility (accountable for results)		
Teamwork (cooperation, working with others)		
Winning (competitiveness)		
Wisdom (understanding life, discovering knowledge)		
Other		

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FIG. 1-2

on the students' perceived leadership effectiveness. (A number of these types of feedback instruments are described in Van Velsor & Leslie's [1992] *Feedback to Managers.*)

- create a visual representation of the school's mission and present and explain it to others; and
- examine a past improvement effort in the student's school to determine what worked, what did not, and why.

EDUCATION TRENDS AND NEW PARADIGMS

Principal preparation also should include information on the latest research and practices in educational reform and new organizational forms and functions. Trainees should be given opportunities to interact with experts in the field as well as with individuals, groups, and schools that are putting new ideas into practice.

QUESTIONS FOR REFLECTION AND EXPLORATION

1) Compare columns 1 and 2. Where is there tension between your personal values and the organization's values?

2) What do the differences suggest?

I must pay attention to:	**Actions I need to take:**

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FIG. 1- 3

IMPLICATIONS OF BELIEF STATEMENTS FOR SCHOOLS IN THE 21st CENTURY

Below are eight belief statements for operating schools in the 21st century.

1) Every student can learn, and every student will learn, if presented with the opportunity to do so. It is the purpose of school to create learning opportunities for each student on a daily basis.
2) Learning opportunities are determined by the nature of the schoolwork with which students are engaged. It is the responsibility of teachers and administrators to ensure that students are given schoolwork that allows for success and teaches what is of most value to them, their community, and society at large.
3) All school activities should be focused on creating and delivering schoolwork that allows students to develop understanding and skills that equip them to participate fully in an information-based, knowledge-work society.
4) As knowledge-work organizations, schools focus on students as the primary recipients of what schools have to offer—knowledge-related products.
5) Teachers are leaders with executive responsibilities. Principals are leaders of teachers and, therefore, leaders of leaders.
6) Teachers and principals are accountable for results, and the expectations include that all students be provided with a learning environment from which they experience success and gain valued knowledge and skills.
7) As a responsible and ethical employer, the school has an obligation to assure working conditions that respect the professional status of all educators and the importance of the tasks to which they are assigned.
8) Continuous improvement, persistent innovation, and a commitment to continued growth should be expected of all people and all programs supported by school resources. These resources should be committed to ensure that these expectations are met.

Discuss with your group the implications of these statements on your school, jotting down each implication on an index card. Use the following questions to spur discussion:

- How would these beliefs change the day-to-day activities of students, parents, community members, teachers, staff, and the principal?
- How would these beliefs change the school system? individual schools?
- How would they affect scheduling of events or daily activities?
- What impact would they have on support services (e.g., transportation, food services, maintenance, etc.)?

Fig. 1-4

SKILL BUILDING

Principal training also should include programs aimed at assessing and developing facilitative skills in the following areas:

- participative group processes (e.g., management of meetings, active listening, conflict resolution, mentoring, etc.)
- systems thinking (e.g., analyzing problems from different perspectives, understanding the underlying causes of poorly functioning systems, developing a good fit between organizational subsystems, strategic planning, etc.); and
- innovation (techniques for generating ideas, initiating and evaluating pilot programs, analyzing stimulants and obstacles to creativity in the workplace, reflective thinking, etc.).

In each area, strategies and guidelines should be communicated to trainees and effective behaviors modeled. In addition, trainees

VISIONING

This exercise is designed to help you tap into your own vision for your school. You will want to get comfortable, relax, and close your eyes. The idea is to release present concerns and allow your imagination to guide you.

Once relaxed, you are to picture yourself in the future. Imagine that your school has successfully achieved the goals that you and others have set for it. The trainer will ask you the following questions to guide your vision of the future.

1) You are in your school. What do you see around you? What sounds do you hear? What are you doing? How are you feeling?
2) Join a meeting of teachers. What do you see occurring? How are the teachers interacting? What do you see, hear, feel? How has this changed from before?
3) Walk around the building. What do you see happening?
4) Notice an interaction between a teacher and student. What occurs?
5) Talk to a parent. What are you discussing? What is the parent saying? How is it different from before?

After finishing the imaging process, make notes on the significant images and events you saw occurring. Share your images with your group. What similarities do you share? What is unique about your own vision?

Fig. 1-5

should be given ample opportunities to practice key skills and receive feedback on their performance.

ADDITIONAL DEVELOPMENT STRATEGIES

The development of skills and knowledge in the leadership domain can be encouraged in additional ways. Experienced principals, for example, can model behavior, coach, or mentor new principals. They can share their knowledge of effective leadership strategies, offer personalized feedback, and provide support for trying out new strategies and improving skills.

Finally, trainees can learn about leadership from their own experiences, experiments, and reflections. Experimentation can be enhanced by removing bureaucratic restraints, empowering staff, allowing individual schools to seek additional funds for innovative programs, and rewarding principals who are willing to take risks.

MEASUREMENT PROCEDURES

Leadership competency can be assessed at various levels. For example:

- Does the principal have an understanding of the leadership domain (i.e., providing purpose and direction, shaping school culture, etc.)?
- Can the principal apply this understanding to his or her situation?
- Does the principal ask relevant questions, act with informed judgment, organize and delegate tasks effectively, etc.?
- Does the principal exhibit leadership behaviors? Are groups kept on task? Are problem-solving procedures suggested, etc.?
- Does the school benefit from his or her leadership? Is the school an effective instructional unit?

Measurement strategies at each of these levels are presented below.

UNDERSTANDING OF DOMAIN

To measure understanding of this domain, trainees should be presented with scenarios that touch upon relevant leadership issues and then asked to discuss what a principal should do in such a situation. Trainees can also be videotaped as they consult with colleagues about how to improve their colleagues' schools, providing opportunities to observe group leadership behavior. They can also participate in role plays. Trainers evaluate the trainees' depth of knowledge based on the types of questions trainees typically ask and the advice they give.

KNOWLEDGE APPLIED TO PERSONAL SITUATIONS

Trainees should be evaluated on oral presentations that highlight the vision and values embraced by their schools. They also should present effectively their schools' current improvement efforts.

EXHIBITION OF LEADERSHIP BEHAVIORS

Trained observers should evaluate trainee behavior in a day-long simulation of a school system. Simulations that include realistic events in the life of the principal as the school system functions, with other trainees playing administrative and staff roles, can be an effective bridge between theory and practice. In addition, school staff should rate the trainees' leadership abilities and effectiveness.

BENEFITS TO SCHOOL

Trainees can ask school staff to describe the mission and values of their school and then assess the consistency and enthusiasm of their responses to identify implications for leadership. In addition, staff also should be asked to describe a recent change effort at the school and the trainees' role in forwarding that effort.

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INFORMATION COLLECTION

DOMAIN 2

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INFORMATION COLLECTION

DEFINITION

Information Collection: Gathering data, facts, and impressions from a variety of sources about students, parents, staff members, administrators, and community members; seeking knowledge about policies, rules, laws, precedents, or practices; managing the data flow; classifying and organizing information for use in decision making and monitoring.

We live in an information age, and today's principals must know how to collect and use information if they are to be effective organizational leaders. According to management expert Peter Drucker (1980a), "information is the manager's main tool, indeed the manager's 'capital,' and it is [the manager] who must decide what information he needs and how to use it" (p. 24). Principals use this tool daily, in all aspects of their work (see Domain 3, Problem Analysis, and Domain 4, Judgment). They collect information while developing school policies and practices, allocating resources, designing instructional and staff development programs, working with the media, and interacting with teachers, students, parents, and district personnel. This information serves as the basis for their decisions and actions; it is the fuel that drives their schools toward the successful completion of goals.

In *Schools for the Twenty-first Century,* Schlechty (1990) suggests that tomorrow's principals be capable of creating work environments that are flexible and open to change. Implicit in this view is the expectation that principals use information collection to interact with internal and external environments. To accomplish this, principals must distinguish among three related concepts: datum, information, and knowledge.

Cope (1986) defines datum as a "single element or fact" (p. 70) and information as an "aggregate of data so utilized as to become knowledge" (p. 71). Information has no real value, he states, unless it is linked to a purpose. Meltzer (1981) defines datum as "basic facts and figures" of a descriptive nature (p. 7) and information as that which results from analysis, synthesis, and evaluation of available data. Knowledge, he states, is "information put to use" (p. 8). Information also can be defined as data that have been organized and communicated (U.S. Department of Commerce, as cited in Meltzer, 1981). This activity involves the production, processing, and distribution of information goods and services.

For the purposes of this domain, an inductive approach was used to define information collection. Twenty-four principals were asked to define the term based on their professional experiences and practices. Their responses yielded several similarities, namely, that information collection is a process of gathering or obtaining facts and/or opinions, and that it is useful to making a decision.

This definition is similar but not identical to the definitions in the literature. Therefore, it was decided to distinguish further between the terms *datum* and *information*.

Data are facts collected about people and things. Although they are collected by principals on a continuous basis from internal and external school environments, they do not become *information* until they are used for a purpose (e.g., to solve a problem or to make a decision). Principals, after all, are continually bombarded with data, most of which are not used for a purpose. Thus, in this domain, the term *information collection* refers to the process of gathering information that will be used for some purpose.

More specifically, information collection can be defined as the process of selecting sources of data, identifying data collection techniques, using data collection tools and techniques, organizing and analyzing resulting information, and—when necessary—summarizing and communicating information to others.

LITERATURE REVIEW

The literature describes information collection as an integral step in organizational planning and decision making, and many planning and decision-making models emphasize its importance to effective leaders. For instance, Bryson's (1989) widely accepted strategic planning model suggests that information collection is critical to each of the eight steps in his model. They are:

1) initiation and agreement on a strategic planning process;

2) identification of organizational mandates;

3) clarification of organizational missions and values;

4) assessment of the external environment (opportunities and threats);

5) assessment of the internal environment (strengths and weaknesses);

6) assessment of the strategic issues facing the organization;

7) formulation of strategies to manage issues; and

8) establishment of an effective mission for the future.

Not only is information collected at each step in the strategic planning process, but it also is gathered before any step is taken. For example, Bryson states, an organization cannot develop a mission statement (step 8) until individual "stakeholders" make their own assessments of mission and buy into the collective thinking. Similarly, principals cannot assess their internal or external environments without first using what Bryson calls "environmental scanning." This process employs a range of strategies to collect internal and external information about an organization. Principals may use external scanning to conduct trend analyses on factors affecting their schools and predict possible scenarios; they may use internal scanning to develop management information systems that track school resources, processes, and performances over time. Bryson states that "public and nonprofit organizations [and communities] increasingly must assess their internal and external environments" if they are to respond effectively to changes in their environment (p. 117). Organizational planning experts support this view (e.g., Drucker, 1980b; Morrison, 1985; Herman, 1989).

Kaufman and Herman (1991) also propose data collection as a major phase of strategic planning, although they believe that not all collection attempts are made in response to the need to make strategic decisions. Even so, it is extremely relevant for principals to understand basic data collection procedures.

Herman classifies information obtainable by internal scanning as student-related, school climate-related, finance-related, or human resource related. Information obtained by external scanning generally is related to demographic factors, finances, attitudes, governmental issues, and other miscellaneous issues. Strategic planning itself is a process of iteratively collecting information and then acting upon it to improve an organization's vitality.

Systems theory, which views organizations and their operations holistically (Getzels & Guba, 1957; Bidwell, 1965), also emphasizes the importance of information collection. Systems theorists regard schools as dynamic, comprehensive organizations. They particularly are interested in the interrelationships among subsystems and the interactions between organizations and their external environments.

According to systems theory, schools capitalize on many different "inputs" (e.g., children, teachers, laws, finances, community attitudes, the media, etc.). (See Fig. 2-1.) They then "transform" these inputs (through teaching, curriculum, leadership, etc.) into "outcomes" (student achievements, parent satisfaction, a positive school climate, etc.) (Lunenburg & Ornstein, 1991).

A holistic system has numerous subsystems that work together to accomplish goals and objectives. This is especially true in schools, which have highly interactive and interdependent subsystems. Schools also are part of larger systems, namely, their communities; therefore, they are considered subsystems of those communities.

Schools that have a substantial amount of interaction with their external environment are considered "open" systems (Katz & Kahn, 1987). Their relationship to their community is a close one, for the environment continually provides the schools with feedback. Principals who lead their schools with an open systems approach will find readily available the types and sources of information they need in order to accomplish specific tasks.

Once principals identify a need for information, they must determine the type of information they

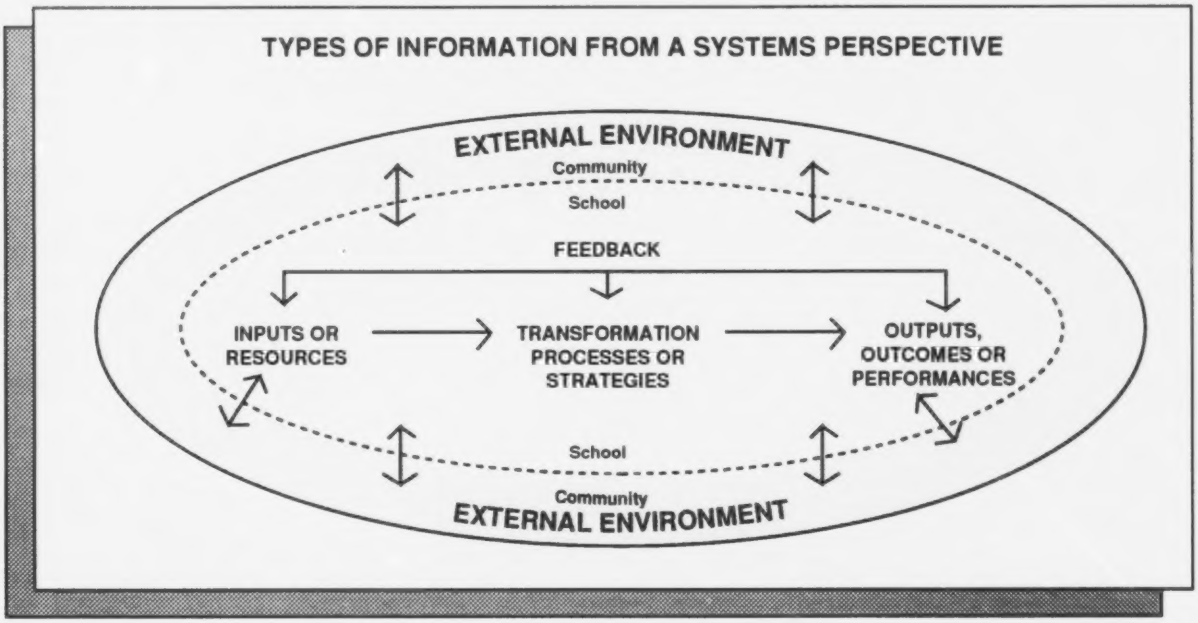
TYPES OF INFORMATION FROM A SYSTEMS PERSPECTIVE
EXTERNAL ENVIRONMENT
Community
School
FEEDBACK
INPUTS OR RESOURCES
TRANSFORMATION PROCESSES OR STRATEGIES
OUTPUTS, OUTCOMES OR PERFORMANCES
School
Community
EXTERNAL ENVIRONMENT

FIG. 2-1

then must collect. Effective management information systems give principals ready access to information in three areas: resources, strategies, and performance. Effective systems also provide principals with information on the quality of the feedback they receive. Figure 2-1 represents the relationships among the different types of data available within a systems framework.

By focusing on inputs, transformations, and outputs, principals are required to make decisions about information collection. The decision-making process is similar to the one evaluators face in the CIPP evaluation model (Stufflebeam et al., 1971). Depending on the purpose of the evaluation, that model focuses on program context, inputs, and processes or products. (See also Domain 4, Judgment.)

Rossi and Freeman (1989) suggest that information collectors (evaluators) focus on three broad classifications of evaluative information: 1) program design information (needs assessment), 2) program monitoring information, and 3) program impact information. In a comprehensive evaluation plan, information may be collected that relates to each of these areas. Likewise, in a comprehensive management information system, the principal has ready access to information in all three areas.

After deciding the type of information they need, principals must determine where to get it. Systems theory provides a framework through which principals can view appropriate sources. (See Fig. 2-2 for an illustration of some of the available sources.)

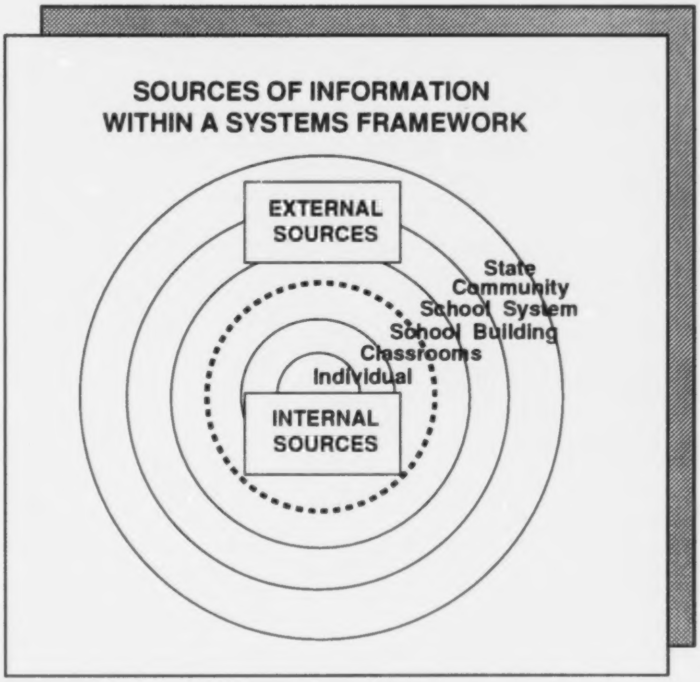

FIG. 2.2

For example, a principal would like to have information on the academic achievements of entering students. He or she might ask, "Is information about entering students required on individual student test scores from previous years?" or "Are aggregate scores needed for each classroom?" Decisions then must be made about the most appropriate source for this information. Some of it may be found internally; some must come from outside sources.

Additional insight into the knowledge and skills principals need to select appropriate "tools" for collecting and analyzing information can be found in the literature and in evaluation methodology (e.g., Borg & Gall, 1989; Gay, 1992). This body of literature primarily focuses on the "how-to" aspects of information collection and provides examples of qualitative and quantitative approaches. A multitude of references can be cited that highlight different sets of methodological tools. Patton's (1990) work on qualitative evaluation methods, Delbecq, Van de Ven, and Gustafson's (1975) work on group interviewing, Krueger's (1988) work on focus group interviewing, and Fowler's (1988) work on survey research each provide an understanding of the knowledge and skills principals need to choose an information collection strategy and to collect, organize, and analyze data. Other examples abound.

Once information has been collected and analyzed, the principal is able to make a decision or take an action. Often, the principal is not required to present the collected information to anyone else. When necessary, however, he or she must be able to summarize and describe the findings effectively via oral or written presentations. The knowledge and skills required to present findings of qualitative and quantitative information are outlined in Wolcott (1990) or Morris, Fitz-Gibbon, and Freeman (1987). (See also Domain 16, Oral and Nonverbal Expression and Domain 17, Written Expression.)

THE PROCESS MODEL

The literature and theoretical perspectives cited previously provide for a *general model* of information collection. A more specific applied model is found in Fig. 2-3, which outlines the essential steps of information collection. This process model was derived from responses of practicing principals as well as from the literature. It assumes that a problem already has been identified and that data must be collected to elucidate it. (These data are considered information since they will be used purposefully.)

The model has eight distinct steps, each of which requires specific knowledge, skills, and behaviors. Accordingly, these are described in detail below.

KNOWLEDGE AND SKILLS

Before making decisions, principals must identify the type of information they need and determine where and how to obtain it. They then must collect, organize, analyze, and summarize their findings, and—when necessary and appropriate—present their findings to others. More specifically, principals must:

Determine What Information Is Needed: At the outset, principals must determine if there is a reason to collect information. This is

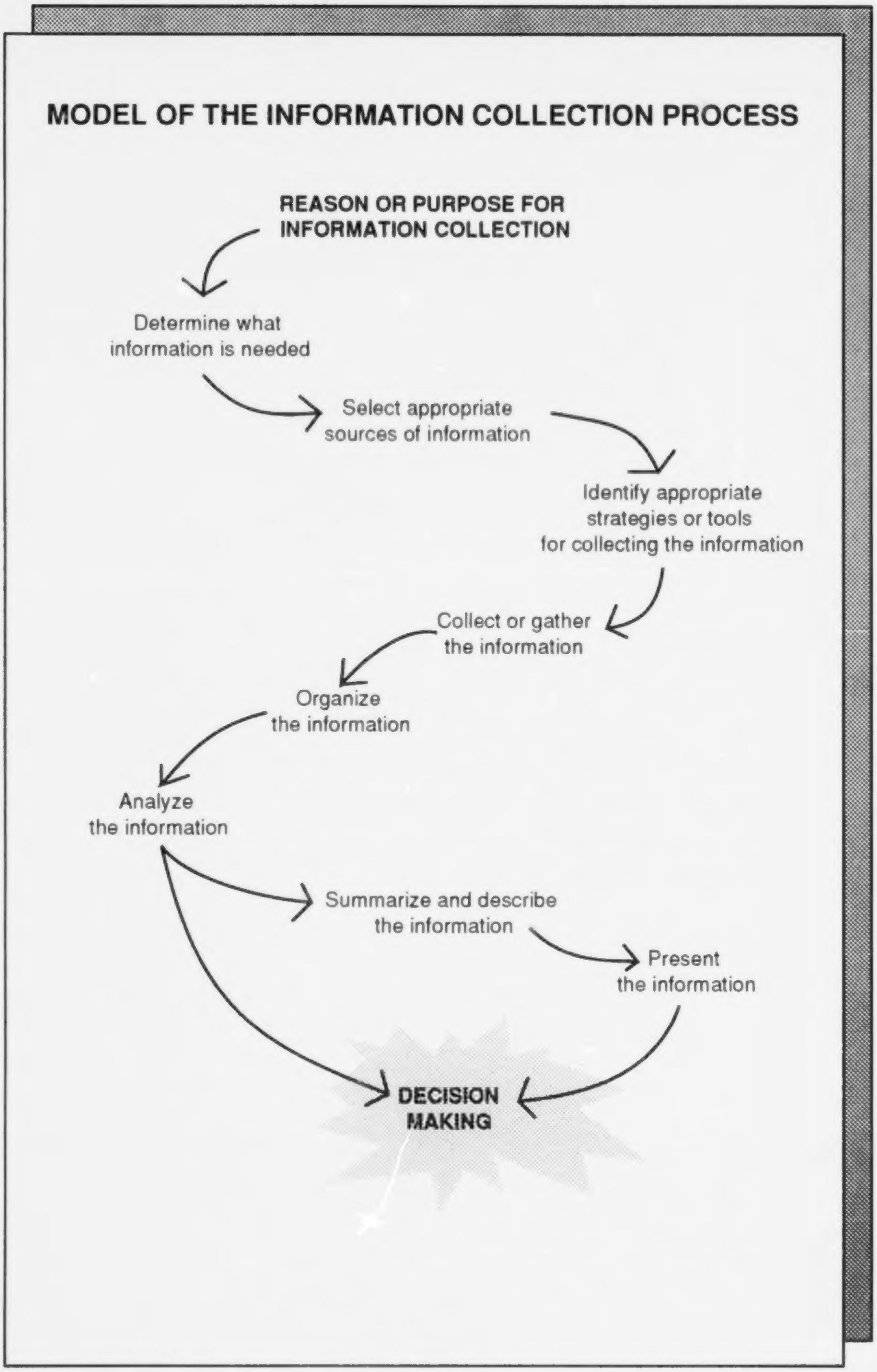
MODEL OF THE INFORMATION COLLECTION PROCESS
REASON OR PURPOSE FOR INFORMATION COLLECTION
Determine what information is needed
Select appropriate sources of information
Identify appropriate strategies or tools for collecting the information
Collect or gather the information
Organize the information
Analyze the information
Summarize and describe the information
Present the information
DECISION MAKING

FIG. 2-3

especially important because costs may be incurred during the collection process. Should a problematic situation warrant data collection, principals then must decide on the type(s) of information they require. From the systems perspective, principals must analyze each of the different subsystems and determine if information is needed on system inputs, processes, or outcomes.

Key behaviors of effective principals include:

- identifying information that is already known about a problem by preparing a list of known facts and documenting sources of known information;
- categorizing available information into discernible types (e.g., recognizing similarities in available information and developing categories to represent information types)
- identifying information gaps or shortages by listing unknown or missing information and placing unknown information in question format;
- listing information needs by type (e.g., by identifying questions by category and consulting with others to verify information needs); and
- prioritizing information needs by selecting and ranking the most important ones.

Select Appropriate Sources of Information: Once principals have determined what kind of information they need, they then must select the most appropriate source(s) for obtaining it. Because information is influenced by the characteristics of its source, principals should be familiar with potential sources and recognize their respective strengths and weaknesses. They should be able to identify potential sources of bias as well.

Key behaviors of effective principals include:

- identifying possible sources of information by listing all potential sources and matching them to information needs;
- identifying sources that have been used successfully in the past (e.g., by listing past situations in which similar information was needed as well as listing sources that have not been used in the past);
- recognizing and evaluating potential bias associated with each source;
- recognizing the costs associated with gathering information (e.g., considering the proximity of sources as well as the time and energy required to access them);
- anticipating the possible consequences of using particular sources (e.g., their credibility, reliability, political implications, etc.);
- understanding the implications of using multiple information sources through source triangulation (e.g., identifying the uniqueness of specific sources and recognizing the complementary nature of some of them); and
- prioritizing all feasible sources.

Identify Appropriate Strategies or Tools for Collecting Information: Once sources have been identified, principals must consider the most appropriate strategy, or strategies, for collecting information. Different strategies have their particular strengths and limitations; they also may have costs (monetary and otherwise) associated with them. Awareness of these factors helps principals select strategies that yield the most valuable information at a given cost.

Key behaviors of effective principals include:

- identifying a variety of strategies for collecting information by listing potential collection tools and reflecting on their familiarity with them;
- understanding procedures involved in collecting information through surveys, tests, interviews, observations, and document analysis (e.g., the process used to develop a needs assessment survey or classroom observation scale);
- recognizing costs associated with information collection strategies (e.g., assessing costs for purchasing testing materials or resources necessary for developing an interview schedule);
- identifying recognized sources of information on selected tests and measurement scales, reading manuals for tests and other measurement tools, and using resources like *Tests in Print* to obtain information;
- recognizing differences in achievement tests, aptitude tests, and attitude measures by identifying the purpose and strength of these tests and selecting those most appropriate for information needs;
- interpreting reliability and validity information as applied to specific measurement procedures (e.g., correctly interpreting a reliability coefficient or the standard error or measurement);
- evaluating information collection strategies against information needs and sources (e.g., developing a matrix showing information needs versus potential strategies or assessing the appropriateness of strategies for prioritized sources);
- recognizing the benefits of making multiple measurements (methodological triangulation) by identifying complementary strategies for both information collection and specific information sources;
- listing feasible strategies for information collection by selecting the most likely ones and identifying the amount of time associated with each;
- prioritizing strategies by ranking them according to their respective time frames and to available resources; and
- identifying appropriate strategies for selecting a sample (e.g., identifying the most feasible strategies and making a commitment to an information collection plan).

Collect or Gather the Information: Principals must be able to collect information from a wide range of sources. They also must have the knowledge and skills required to direct others to seek out information. (Many of these skills are described in Domain 16, Oral and Nonverbal Expression, and Domain 17, Written Expression.)

Key behaviors of effective principals include:

- administering tests and measures appropriately and in accordance with administrative procedures;
- designing and conducting mail surveys (e.g., developing survey questionnaires using community input, conducting a pretest of a new survey instrument, etc.);
- conducting individual interviews in person or over the telephone and maintaining good eye contact and/or active listening skills throughout the interchange;
- conducting small group interviews and recording the discussion, paying special attention to the physical setting of the meetings and to ways in which a supportive climate can be established;
- conducting large group interviews and recording the proceedings, phrasing questions appropriately and maintaining good eye contact throughout;
- making observations and recording detailed notes and complete behavior ratings (e.g., scripting, identifying nonverbal behaviors, sources of direct quotations, etc.);
- using library resources to collect information (e.g., conducting a literature search on CD ROM or extracting information from government documents); and
- using small group information collection activities (e.g., conducting a focus group interview or using nominal group techniques to reach group consensus).

Organize the Information: Collected information is of little value to principals if it is disorganized or unmanageable. Principals, therefore, must separate the information by element and develop a system for classifying and/or coding each. Computer technology can be of valuable assistance in this regard.

Key behaviors of effective principals include:

- assembling all relevant information by developing an effective filing system;
- developing categories for classifying information (e.g., building and labeling response categories through analysis of individual cases);
- using databases or spreadsheets to organize information; and
- creating a manual or computerized management information system (MIS) to facilitate information retrieval.

Analyze the Information: Effective principals should be able to analyze qualitative and quantitative information. This requires that they establish relationships or look for trends or patterns in information.

Key behaviors of effective principals include:

- comparing information across classifications or categories by contrasting responses of different groups and subgroups and recognizing significant differences among them;
- identifying patterns of response in the information by differentiating among important and unimportant categories and relating response patterns to identified information gaps;
- recognizing trends in information (e.g., identifying change over time, relating trend information to other factors, etc.);
- identifying relationships among factors by separating important relationships from unimportant ones and identifying possible causal links;
- differentiating between relevant and irrelevant patterns, trends, and relationships (e.g., matching information needs to findings, eliminating irrelevant findings, etc.); and
- relating relevant and irrelevant patterns, relationships, or trends to the original problem and to information gaps (e.g., listing similarities in multiple comparisons, relating common patterns to information needs, etc.).

Summarize and Describe the Information: To make further sense of the information collected, principals must summarize and describe it. This holds true for both quantitative and qualitative information.

Key behaviors of effective principals include:

- using descriptive statistical analysis to summarize numerical information test scores using software applications, calculating average scores for school-climate assessment, and interpreting the standard deviation for standardized test scores;
- using graphics software applications to construct graphs and charts (e.g., drawing bar graphs to highlight group differences; plotting test scores over time, etc.);
- producing narrative summaries of qualitative information by identifying common themes across information sources and providing sufficient detail to support arguments; and
- developing concluding statements that are consistent with the analysis (e.g., supporting conclusions with analysis, summarizing negative information tactfully, etc.).

Present the Information: Principals must be able to present information in a logical and appropriate manner. They first must select the information they will share and then determine the correct level of specificity for their audience. Selecting the most appropriate mode of presentation is also important (see Domain 16, Oral and Nonverbal Expression).

Key behaviors of effective principals include:

- identifying the purpose of the communication;
- identifying potential audiences and their specific characteristics;
- anticipating the effects the information will have on different audiences by identifying the depth of their understanding and tailoring the degree of specificity to meet their needs;
- identifying communication strategies that meet the needs of major audiences (e.g., using a variety of presentation strategies, allowing for audience participation and questions, etc.); and
- using effective oral and written communication skills when making presentations (e.g., speaking clearly using good tone, volume, and appropriate vocabulary, etc.).

PERFORMANCE STANDARDS

After completing this domain, principals should be able to:

1) understand information collection as an ongoing process and recognize its importance;

2) perceive the interrelatedness between the information collection process and the other dimensions of professional practice;

3) diagnose the information collection needs of their schools;

4) identify various information sources, various strategies for collecting information, and their relative strengths and weaknesses;

5) collect information through multiple modalities;

7) use technologies as well as manual methods to organize and analyze school-based information; and

8) summarize and describe information and present it in written and oral form.

EDUCATION AND TRAINING

Information collection is an ongoing process that is integral to all domains in this book. Accordingly, it is most effectively learned in an integrated curriculum. The process can be learned, for example, while studying the instructional sequences in Domains 11, 14, and 15 (Staff Development, Motivating Others, and Interpersonal Sensitivity, respectively). Ultimately, trainees should learn the importance of information and the information collection process. They should recognize the interrelatedness between this process and the other aspects of their professional practice and should know how to initiate and complete data collection so that they can make informed and well reasoned decisions. Throughout their training, they should be given opportunities to engage in information collection activities and to receive feedback on their performance.

An effective and meaningful training program would include a variety of instructional methodologies. Elements of Kolb's (1984) experiential learning model, for example, would be valuable in designing a curriculum to teach information collection. Trainees would have an opportunity to engage in the collection process through a combination of lectures, presentations, group discussions, guided practices, and field experiences. (Kolb refers to these as "concrete experiences.") Trainees also would have an opportunity to reflect on relevant topics as well as on their personal experiences. This "reflective observation" could be fostered through seminars, structured experiences, and the keeping and sharing of professional journals.

Trainees also should be exposed to theory and issues related to information collection through lectures and guided discussions ("abstract or conceptualization activities"). Some of this instruction should be abstract and conceptual in order to encourage trainees to generate new ways of thinking about information collection and their role as collectors. Finally, trainees should be given a chance to experiment actively with these new ideas and strategies in a supportive environment. Taken together, these concrete experiences, reflective observations, abstract or conceptualization activities, and active experimentations provide trainees with a rich educational experience.

In accordance with the experimental learning model, instructional segments must be integrated with other topics throughout training so trainees can establish a strong base of knowledge and skills. Another way to conceptualize this integration is to envision it as a double helix with one strand representing information collection and the other the other domains, either singly or as a series. (See Fig. 2-4.) A semester-long study of interpersonal relations, for example, would focus on several domains, including Motivating Others, Interpersonal Sensitivity, Oral and Nonverbal Expression, and Written Expression (Domains 14, 15, 16, and 17, respectively). Information collection is the strand that links the domains together. When motivating others, for instance, it is important for principals to understand school culture; when preparing for a large group presentation, principals must understand the needs and interests of the group. These situations require principals to identify the types of information they need and to make appropriate choices based on the information they gather.

In addition, knowledge and skills are taught most effectively when they are focused on a particular problem associated with a particular domain. These problematic situations become "bridges" that link information collection to the other domains. Suppose, for example, that understanding school culture is a bridge. Trainers would design an exercise for trainees in which they would be asked to spend time in a school collecting information about its culture (concrete experience). Trainees would then return to the classroom to discuss their observations and reflect on how things might have proceeded differently (reflective observations). Through their reflections, they would come up with questions or observations about their experiences as information collectors. Through lectures, discussions, or readings, they would learn more about effective strategies for conducting interviews with teachers, etc. (abstract conceptualization). Through simulated, videotaped interviews, they would be encouraged to practice their skills and try new approaches in the field (active experimentation). Each semester, problems requiring information collection would continue to be posed to trainees, who would then follow the cycle described above.

INTRODUCTION TO THE CURRICULUM OF INFORMATION COLLECTION

Early in the first semester, trainees should be given an overview that explains the curriculum's structure, explains each of the domains, and identifies information collection as a continuous process that principals are engaged in.

Trainees then could conduct a field study in which they interview a principal and learn about his or her information needs. This activity, which is designed to reinforce the importance of collection as an ongoing process, could consist of the following activities:

- a panel discussion on information needs and the principalship;
- a presentation on interviewing techniques and how to design interview schedules;
- group projects on designing an interview schedule;
- videotaped practice interviews conducted with colleagues;
- feedback on practice performances (coaching cycle);
- a field study of principals' information collection activities;
- a presentation on information management;
- practice in using word processing software to organize interview data;
- a guided practice on the analysis of qualitative information;
- videotaped simulated presen-

tations before colleagues;

- self-assessment of performance/feedback from colleagues about the presentation; and
- submission of a final written report.

This introductory sequence would acquaint trainees with information collection and stress its importance to the other domains. It also would introduce trainees to beginning terminology associated with information collection and to interviewing as a strategy for gathering data.

CURRICULUM IN SUBSEQUENT SEMESTERS

In subsequent semesters, similar activities could be offered in response to specific curriculum issues. Their exact nature cannot be suggested in advance, as they would be tied closely to the semester's thematic emphasis or content focus. The curriculum might, for example, focus on continuing professional development. This would give trainees a tremendous opportunity to study information collection simultaneously by focusing on "input" evaluation and needs assessment through the use of survey methodology. Trainees could be given a problem-posing case study and asked to play the role of a principal recently assigned to a school that has low morale and few professional development opportunities. Trainees would have to analyze the situation and then:

- determine the type of information they need (e.g., professional development needs or preferred instructional methodologies);
- identify the most relevant infor-

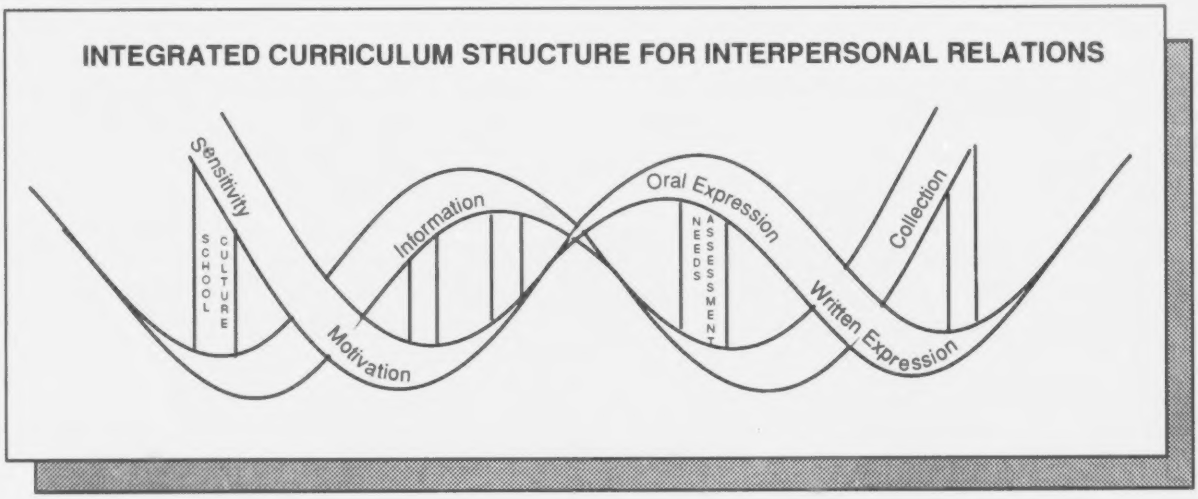
INTEGRATED CURRICULUM STRUCTURE FOR INTERPERSONAL RELATIONS
Sensitivity
SCHOOL
CULTURE
Information
Motivation
Oral Expression
NEEDS
ASSESSMENT
Collection
Written Expression

FIG. 2-4

mation sources (e.g., professional staff members);

- identify the most appropriate strategy of collecting the information (e.g., developing a written survey);
- collecting the data in a field setting (e.g., conducting a survey of the professional development needs of teachers in area schools);
- organizing the information (e.g., entering it in a database);
- analyzing the information (e.g., converting the database into a format that allows appropriate or needed comparisons);
- summarizing and describing the information (e.g., using graphics software to develop a series of bar charts that summarize professional development needs); and
- presenting the summarized information to the school system's administrative staff.

Throughout the study program, trainers should expose trainees to various situations. They should be given case study materials that require them to look at inputs, transactions, and outcomes; they should be encouraged to gain exposure to a wide variety of information sources and strategies; they should collect information on individuals, groups, and issues; they should practice different approaches to organizing and analyzing qualitative and quantitative information; and they should be required to summarize and present information through different media to various audiences.

MEASUREMENT PROCEDURES

Several approaches should be used to measure the trainee's ability to collect information given the diverse activities involved in the process. These are discussed below.

IN-BASKET MATERIALS

A series of in-basket materials could be written that require trainees to exhibit some of the specific behaviors associated with this domain. These materials would be particularly useful in evaluating their ability to identify the required information and its potential sources. An in-basket evaluation, for examination, could determine if trainees successfully inventoried and categorized available information. The in-basket materials themselves could be patterned after those used in the NASSP Assessment Center process.

In-basket activities could be scored in several ways. If there were certain essential facts included in the in-basket, the number that were correctly identified could be counted. A panel of principals could be used to generate these numbers and the types of categories to be included. Trainees could be scored according to how well they measured up to the panel's standards.

WRITTEN CASE STUDIES

A series of case studies could be developed that ask trainees to respond to particular situations requiring information collection. These studies could be patterned after the NASSP case study materials found in the Jackson School Activities in LEADER 1, 2, 3. Embedded in the studies would be key facts that trainees would have to recognize as important. Trainees would be asked how they would respond to given situations. They might list possible information sources, identify the strengths and weaknesses of each, and choose those that are most appropriate. Trainers could use rating scales to determine how well trainees exhibited the behaviors associated with the selection of appropriate information sources. (Note: Trainers would first have to be trained in the use of the rating scales.)

BEHAVIORAL RATING SCALES

Rating scales could be used to assess such things as the trainees' appropriate use of strategies. Behaviors associated with these strategies could be identified as a series of steps that trainees must follow. Once this series of steps is compiled, trainers could construct behaviorally anchored rating scales.

Rating scales could be scored using either a "yes/no" format or a Likert-type scoring scale. For example, maintaining good eye contact is a specific behavior that should be exhibited by trainees when they conduct interviews. Such behavior could be scored "yes" or "no" or on a scale from 1 to 4, with "1" being never, "2" being sometimes, "3" being often, or "4" being always.

These behavioral ratings could be used in a number of ways. Trainers could make the ratings if used in a summative sense. Peers could use the rating scales to provide formative or developmental feedback. Trainees also could use rating scales to assess their performance on videotape.

REFLECTIVE JOURNALS

Reflective journals are another important way to identify the trainees' growth. Trainees could be asked to describe their reactions to information collection experiences and to share these periodically through a reflective seminar. By keeping a journal, trainees continually assess their own development.

Although journal entries are not easily quantified, they should be shared periodically with trainers. Journals often reveal the difficulties trainees face in the field (e.g., their problems in designing an instrument or in obtaining usable responses from community members for a needs assessment survey). Trainers would then be able to provide trainees with personal feedback. Journal entries also could be shared with peers in reflective seminars.

SIMULATIONS

Many information collection strategies can be assessed through simulation activities, which are particularly valuable as practice preliminary to field activities. Trainees can be videotaped leading small group interviews, conducting focus groups, or running nominal group meetings. Their simulated performances could be scored as a series of behavioral ratings. In addition, trainees could use the videotapes as a means to assess their own behaviors and skills. Finally, simulations could be used to assess the trainees' ability to organize and analyze information and present their findings to others. Trainees, for example, could be given information that they then must enter into a computer file and analyze and then summarize and describe.

PERFORMANCE ASSESSMENT THROUGH PORTFOLIO DEVELOPMENT

Portfolio assessment is one of the most important ways to evaluate the trainees' ability to collect information. Accordingly, trainees should be encouraged to assemble portfolios throughout the curriculum to document their actual performance. Materials should demonstrate mastery of the requisite knowledge and skills and should be cataloged according to the key behaviors of the collection process. They could include such things as surveys, summary reports, interview guides, or videotapes of interviews, groups, meetings, and presentations made before school boards.

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PROBLEM ANALYSIS

DOMAIN 3

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PROBLEM ANALYSIS

DEFINITION

Problem Analysis: Identifying the important elements of a problem situation by analyzing relevant information; framing problems; identifying possible causes; seeking additional needed information; framing and reframing possible solutions; exhibiting conceptual flexibility; assisting others to form reasoned opinions about problems and issues.

Principals face a continual flow of problems during the course of a given school year. Some of these problems are short term in nature and relatively easy to solve; others are complex and require ample amounts of patience and time to address. All, however, require analysis if they are to be resolved in ways that benefit schools and prevent other problems from arising.

Principals skilled in problem analysis are likely to be effective problem solvers (Doyle, 1977). That's because a problem well understood is at least half solved (Dewey, 1933). According to Getzels (1975), the quality of a solution is a function of the quality of the question asked. When principals ask the right questions, when they effectively define and analyze the problem at hand, they increase their chances for resolving it successfully (Doyle, 1977).

But what *is* problem analysis?

To understand the term better, it is helpful to examine the meaning of the words *problem* and *analysis*. Scott (1985), for example, defines a problem as that which exists in "any situation where an individual has no response immediately available that will satisfy the prevailing environmental contingencies" (p. 132). Brion (1989) defines an organizational problem as that which is "a significant deviation from a goal, plan, standard, policy, or condition predetermined to be desirable" (p. 561). Hoy and Miskel (1991) suggest that a problem is a "difference between expected and actual outcomes" (p. 52) or "the recognition of a difficulty or disharmony" (p. 305). Keith and Girling (1991) suggest it is a "discrepancy between a present situation and a more preferred state of affairs" (p. 122); problems begin, they further suggest, "with an awareness of an unsettled question or an undesirable situation that one is willing to act to change by visualizing alternatives and taking action" (p. 122).

Analysis—as defined in *Webster's New World Dictionary*—is a consideration of all factors; a separation or breaking up into parts; an examination of parts to find their nature, proportion, relationships, functions, or causes. *Problem analysis* then is the act of becoming aware of an unsettled question or undesirable situation, breaking it into parts, and examining those parts before proceeding to problem solving. Or—as the NASSP Assessment Center has said—it is the "ability to seek out relevant data and analyze complex information to determine the important elements of a problem situation; searching for information with a purpose."

LITERATURE REVIEW

The current literature touches upon the ways in which problem analysis is facilitated and constrained. These are discussed in more detail below.

PROBLEM DEFINITION AND FORMULATION

A person engaged in problem analysis facilitates the process by gathering clues and information about a problem, organizing these clues into a pattern, and using the pattern to gather more information to prove or disprove an original hunch. At the outset, he or she defines the problem "through the counterpoint between available information and a cluster of hunches or hypotheses about the nature of the problem, or problem analysis" (McPherson, Crowson, & Pitner, 1986, p. 279). According to Scribner (1986), "Skilled practical thinking involves problem formation as well as problem solution. . . .[E]xpertise in practical problem solving frequently hinges on an apt formulation or redefinition of the initial problem" (p. 21).

CLASSIFICATION OF PROBLEMS

Classifying problems also facilitates analysis. Keith and Girling (1991) suggest that problems be classified in three ways: operational or strategic; structured or unstructured; and crises or opportunities.

Operational problems are immediate (e.g., a broken water main in a school). Strategic problems are more long term (e.g., education cuts due to state budget deficits); nevertheless, they affect organizational goals.

Structured, or well defined, problems are routine and/or repetitive. Generally, they have a single cause and usually can be solved with standardized diagnosis and solutions. *Unstructured* problems, on the other hand, have multiple causes and require considerable attention to diagnose and define. They tend to flourish in educational environments and their solution requires critical thinking and creativity.

Crises problems demand quick responses and immediate solutions (e.g., when a bomb threat is made to a school). *Opportunity-related* problems are associated with future conditions and require that actions be taken or decisions made in anticipation of an impending problem (e.g., when weather forecasts indicate that heavy snows may close schools for several days).

Problems also can be classified as *discrete* or *emergent* (Owens, 1991). *Discrete* problems are unambiguous, clear-cut, and often quantifiable. Their boundaries are relatively easy to discern, and their elements can be separated readily. Solutions to discrete problems require logical sequences of events that are readily performed by one person; they usually are best solved by an expert.

Emergent problems, on the other hand, are ambiguous, uncertain, and not readily quantifiable. Their elements are difficult to separate on the basis of objective criteria. Further, their dimensions and nature are not fully known at the time of their initial solution; rather, they become better known as solutions are implemented. Solving emergent problems requires continued coordination and interaction among a number of people. As a result, emergent problems are best solved by a group of individuals who have the knowledge to solve them and who are involved in implementing their solutions.

CONSTRAINTS AND BARRIERS TO EFFECTIVE PROBLEM ANALYSIS

The literature also reports numerous personal behaviors and situational factors that serve as barriers to effective problem analysis. These factors inhibit creative thinking, experimentation, and risk taking. They also constrain the ability of individuals and groups to collect and use information.

Structural, Contextual, and Attitudinal Constraints: Keith and Girling (1991) state that constraining factors are *structural, contextual,* and *attitudinal. Structural* factors refer to the degree to which schools or other organizations are formally, or hierarchically, structured. Formal institutions rely heavily on rules and procedures, which stifles innovation. Thus, the greater the degree of formalization, the greater the potential for constrained problem analysis.

Contextual factors refer to how an organization reacts to a problem. The manner in which groups approach problems sometimes causes them to simplify their strategies or to ignore or use too much information. "Group think"—the unwillingness or inability of group members to evaluate each other's ideas critically—can result in ineffective problem analysis. Contextual factors also cause groups to overestimate rare events and the importance of the problems that arise from them (Wickens, 1987).

Attitudinal factors refer to how an individual's outlook and feelings affect problem analysis. For example, individuals intimidated by their peers or superiors may accept information unquestioningly and, thereby, fail to ask key questions. Individuals in the habit of thinking about problems or implementing solutions in a set way often fail to consider new interpretations and approaches (Raudsepp's *transfer of habits,* 1991).

Mood also affects attitudes. Under certain circumstances, people take control of their thoughts and feelings and adjust their interpretations in response to situational factors. They see multiple alternatives for interpreting events and change their "knowledge repertoire" by adding new experiences and reworking cherished beliefs, values, and goals (Showers & Cantor, 1985, p. 277). Under other circumstances, however, people display inflexibility by exercising little active control over their moods and dysfunctional strategies.

Effective principals do not allow their moods and attitudes to interfere with problem analysis. They acknowledge the influence of their schools' organizational structures on problem analysis and work to overcome structural barriers. In addition, they are familiar enough with the various constituencies in their schools to promote group behaviors that lead to effective problem analysis.

Preoccupation with Solutions: Principals who are preoccupied with finding solutions often lack a clear understanding of the problems they are trying to solve; as a result, they grab the first solution they find (Doyle, 1977; Raudsepp, 1991). Effective principals, by contrast, shift from solution-mindedness to problem-mindedness to increase creative analysis; they are willing to wait patiently for more apt and unique solutions to present themselves.

According to Glassman (1989), leaders who are preoccupied with the "quick fix" block creative group problem analysis. They accept the first adequate solution posed and allow others to rush to a solution without first defining the problem. Effective principals, by contrast, practice patience. They do not demand quick solutions; rather, they focus their energies on problem analysis and encourage groups to do the same.

Premature Judgments: Once judgments are made, most people tend to adhere to them even when evidence overwhelmingly shows the judgments to be wrong (Raudsepp, 1991). Considerably more effort and evidence are required to overcome incorrect judgments, hypotheses, and beliefs than are required to establish correct ones.

Individuals who frequently jump to conclusions close their minds to new information. Wickens (1987) describes this barrier as confirmation bias and the anchoring heuristic (more simply, sticking to one's first conclusion). Showers and Cantor (1985) state that premature judgments may be a result of inflexibility. Individuals who are trapped by available stimuli cling to favorite interpretations; the schemas and stereotypes in their "knowledge repertoire" resist change.

According to Glassman (1989), a leader's premature judgments interfere with effective group problem analysis. Such judgments stifle creativity because they force the leader to criticize new ideas quickly and negatively. Letting group members make premature judgments also is problematic. Ideas often are dismissed without serious consideration; those that are embraced are not necessarily accepted for their merits but as a result of influence from group members with status and position.

Effective principals resist making premature judgments. They examine their judgments critically and change their positions when evidence warrants. In encouraging others to do the same, they develop group processes that allow thoughtful consideration of all ideas.

Time: Effective problem analysis takes time. Raudsepp (1991) states that effective principals set priorities and use other time-management techniques to devote uninterrupted blocks of time to problem analysis. They also encourage others to do the same. Leaders who limit the amount of time reserved for problem analysis and who take short cuts in the interest of time restrain effective problem analysis (Glassman, 1989).

Stress: Many poorly conceived and implemented decisions are the result of stress or attempts to overcome stress. Janis (1985) identifies four unproductive stress patterns associated with problem analysis.

Unconflicted adherence occurs when individuals cope with stress by accepting the most salient or popular course of action without concern for, or critical examination of, costs or risks. *Defensive avoidance* occurs when individuals evade conflict by procrastination, rationalization, shifting responsibility, minimizing unfavorable consequences, or ignoring corrective feedback. *Hypervig-*

ilance occurs when individuals ignore alternatives and consequences because of emotional excitement and repetitive or limited thinking. Such individuals produce simplistic ideas and reduce their immediate memory spans. They vacillate between alternatives as they panic and frantically search for solutions until they finally seize upon one that is hastily contrived and that offers immediate relief.

Effective principals, by contrast, respond to the stress of problem analysis with vigilance. They search for relevant information, assimilate it in an unbiased manner, and evaluate alternatives before making a choice.

THE PROCESS MODEL

Classifying and analyzing problems is a dynamic rather than linear process that contains several key components. These are represented in Fig. 3-1. (This model, it should be noted, is a generic construct and can be used to analyze problems in any domain.)

According to Fig. 3-1, problem analysis and its outcomes are affected by internal and external factors. External factors include the availability of information, the urgency to find a solution, the nature of an organization, the barriers that interfere with effective problem analysis, and the importance of the problem itself. Internal factors include such things as the analyzer's experience, ability, motives, preferences, and values. Taken together, these factors affect a principal's ability to:

- recognize a problem situation;
- collect information about it;
- evaluate and integrate the information collected;
- represent or interpret the problem;
- identify causal factors;
- redefine or interpret the problem; and
- ultimately, solve the problem.

In addition to the internal and external factors that affect problem analysis, there are numerous behaviors that can facilitate or constrain the analysis process. These are discussed in the knowledge and skills section below.

KNOWLEDGE AND SKILLS

Principals can become more effective problem analyzers by understanding and practicing the behaviors associated with each component of the process model. (See Fig. 3-1.)

RECOGNITION OF A PROBLEM SITUATION

A problem needs to be identified before it can be analyzed or solved. Principals must determine if a problem does, in fact, exist or if a situation has been misrepresented or exaggerated and, there-

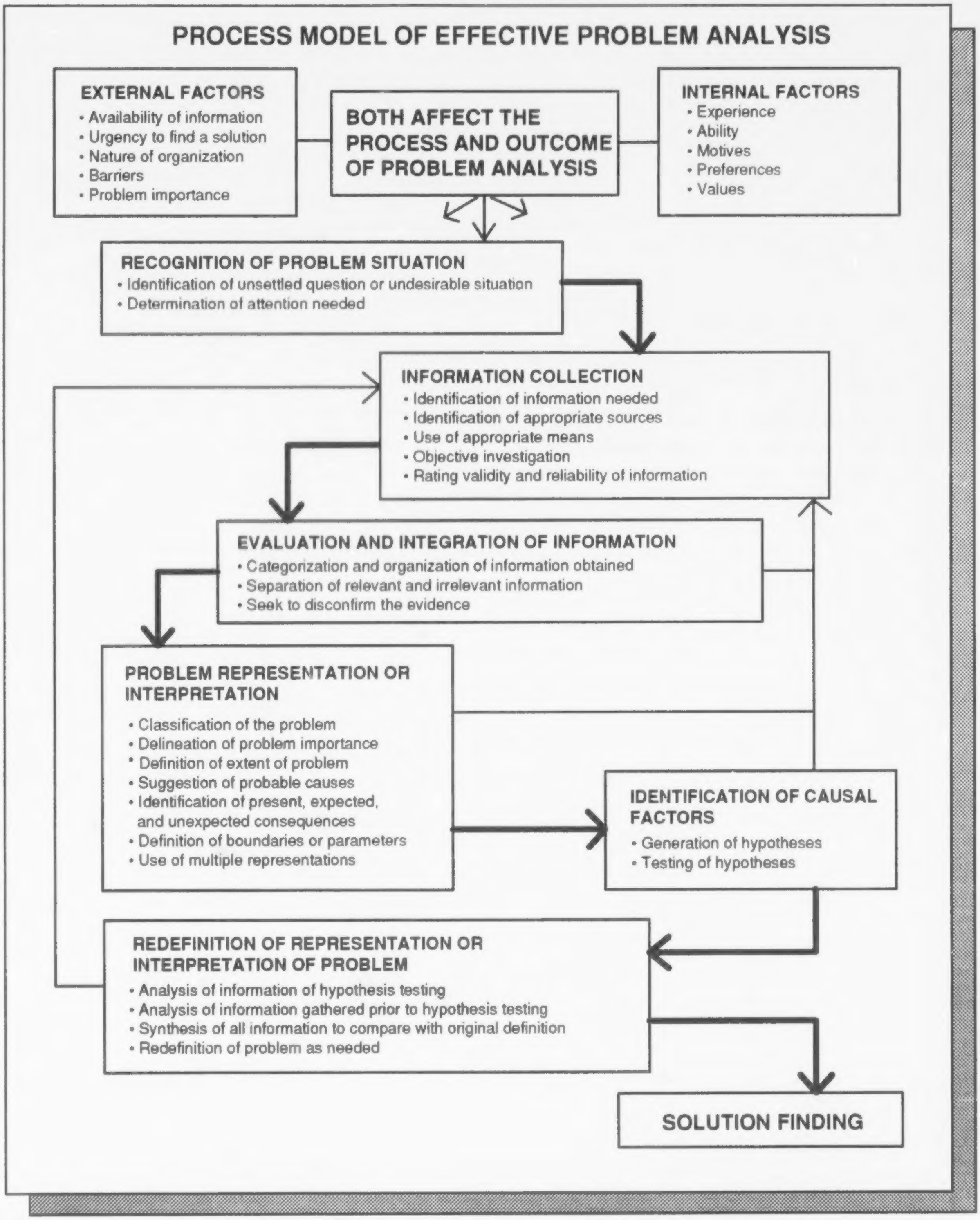
PROCESS MODEL OF EFFECTIVE PROBLEM ANALYSIS
EXTERNAL FACTORS
• Availability of information
• Urgency to find a solution
• Nature of organization
• Barriers
• Problem importance
BOTH AFFECT THE PROCESS AND OUTCOME OF PROBLEM ANALYSIS
INTERNAL FACTORS
• Experience
• Ability
• Motives
• Preferences
• Values
RECOGNITION OF PROBLEM SITUATION
• Identification of unsettled question or undesirable situation
• Determination of attention needed
INFORMATION COLLECTION
• Identification of information needed
• Identification of appropriate sources
• Use of appropriate means
• Objective investigation
• Rating validity and reliability of information
EVALUATION AND INTEGRATION OF INFORMATION
• Categorization and organization of information obtained
• Separation of relevant and irrelevant information
• Seek to disconfirm the evidence
PROBLEM REPRESENTATION OR INTERPRETATION
• Classification of the problem
• Delineation of problem importance
• Definition of extent of problem
• Suggestion of probable causes
• Identification of present, expected, and unexpected consequences
• Definition of boundaries or parameters
• Use of multiple representations
IDENTIFICATION OF CAUSAL FACTORS
• Generation of hypotheses
• Testing of hypotheses
REDEFINITION OF REPRESENTATION OR INTERPRETATION OF PROBLEM
• Analysis of information of hypothesis testing
• Analysis of information gathered prior to hypothesis testing
• Synthesis of all information to compare with original definition
• Redefinition of problem as needed
SOLUTION FINDING

Fig. 3-1

by, requires little or no attention. Principals should identify the congruence or incongruence between the present problem and the desired state of affairs. Once this measure of congruence is established, they should put the problem into perspective and begin looking for related facts.

RECOGNITION OF A PROBLEM SITUATION

Effective behaviors are preceded by a "+," ineffective behaviors by a "-."

Identification and Analysis of Relevant Information at Hand:

+ assuming welcoming, nonthreatening stance (welcoming presenter, being attentive)
+ reading material with care (e.g., identifying writer's purpose, complaint, request, bias, knowledge, expertise, power, legitimacy, etc.)
+ taking notes
+ writing notes, questions, and comments on original written communication or on separate paper
+ asking for clarification
+ identifying oral and written statements, phrases, or words that need clarification
+ restating problem to presenter and asking for feedback
+ writing a preliminary "problem statement"
+ sharing preliminary statement of the problem with others and asking for feedback
+ integrating information from multiple sources
+ asking about the desired state of affairs or checking the situation for congruence with the desired state of affairs
+ taking notes or asking questions related to the scope, severity, and frequency of the issue
- not being aware of potential problem
- ignoring information from a conversation or from a written communication
- reaching a conclusion before an examination of the quality of information at hand
- reaching a conclusion based on personal experience or perception or ignoring data

Fig. 3-2

Specific behaviors of principals include:

- making note of pertinent facts and information, written materials, opinions, recorded observations, eyewitness accounts, and value-laden statements;
- questioning the congruence between the situation as presented and the desired state of affairs;
- developing a tentative statement of the issue;
- estimating the scope, severity, and frequency of the issue;
- determining whether action is required; and
- determining whether the issue requires additional investigation. (See Fig. 3-2 for additional behaviors.)

INFORMATION COLLECTION

Gathering additional pertinent information from credible sources is crucial to problem analysis, and principals should maintain their objectivity when collecting it. They should not impose their personal views and values, discount disconfirmatory information, or arrive at premature judgments.

Information can be gathered from written materials, recorded observations, eyewitness accounts, disputed facts, opinions, value-laden statements, etc. Principals must verify the information's validity and reliability via phone calls, personal visits, written requests, etc. All information should be well documented. (See also, Domain 2, Information Collection.)

Specific behaviors of principals include:

- categorizing information according to facts, written materials, opinions, recorded observations, eyewitness accounts, and value-laden statements;
- taking notes on the problem and identifying points that need clarification;
- using a variety of data collection methods;
- identifying ways to verify the information's source, validity, and reliability;
- highlighting informational gaps by noting what information is unknown or unavailable;
- identifying information that may not be obtainable in a timely manner or at all;
- phrasing a problem carefully and documenting all facts based on existing information;
- identifying information with potential legal ramifications;
- seeking relevant data only; and
- maintaining organized files on all collected data. (See Fig. 3-3 for additional behaviors.)

EVALUATION AND INTEGRATION OF INFORMATION

To evaluate and integrate information, principals must separate relevant and irrelevant information. Obvious evidence must be disconfirmed to ensure that the problem is viewed from all perspectives. Relevant information should be categorized and logically arranged so that the problem can be understood as a whole. To facilitate this process, components of the problem can be drawn in schematic form.

Specific behaviors of principals include:

- categorizing information into facts, eyewitness accounts, value-driven statements, opinions, and other factors that are verified, agreed on, or disputed;
- documenting the information's source, validity, and reliability;
- preparing a diagrammatic sketch of the problem;
- discussing with those involved each piece of information and its relevance;
- analyzing potential legal ramifications;
- questioning the logic of each piece of information within the analytical framework;
- discarding irrelevant, unverifiable, worthless, or misleading information;
- avoiding reaching unwarranted conclusions;
- synthesizing data so that warranted conclusions are reached;

INFORMATION COLLECTION

Effective behaviors are preceded by a "+," ineffective behaviors by a "-."

Identification of Information Needed:

- + taking notes, marking areas needing further clarification
- + making a list of what is not yet known
- + making a plan for gathering information
- + writing notes to self regarding schedule for return of information requested
- + highlighting information gaps, making note of what is needed or desired
- + identifying steps to verify the source, validity, and reliability of information
- + verifying information
- - assuming present information is enough to work with
- - ignoring and/or avoiding seeking out additional information
- - obtaining verification of information from the original source only
- - working with no written notes, plan, outline, copies of memos and letters sent to others, etc.

Identification of Appropriate Sources:

- + being aware/knowledgeable of potential sources
- + noting source(s) most likely to possess needed information
- + identifying multiple sources with differing points of view
- + preparing a plan to gather information quickly from prime sources
- - depending on initial source for all information
- - limiting sources of information to those close at hand
- - conceding inability to gather critical information
- - ignoring clues of possible sources of information from conversations or written communications
- - selecting politically expedient sources and ignoring less powerful individuals as sources of data

Use of Appropriate Means:

- + using personal visits, phone calls, formal letters, etc., appropriately according to nature and severity of the problem
- + using exact and precise wording in requesting general and specific information
- + asking prime sources for input regarding additional sources of information
- + taking follow-up action with sources who do not respond to initial request(s)
- + attending to matters of confidentiality
- - relying on a single method of communication
- - using inappropriate method(s)
- - using coercive or intimidating methods
- - failing to recognize what information must be shared and what must be kept confidential

Objective Investigation:

- + carefully phrasing oral and written questions (e.g., avoiding yes/no and leading questions)
- + asking multiple questions about various aspects of problem
- + probing with follow-up questions when appropriate

Fig. 3-3 continued next page

Fig. 3-3

Fig. 3-3 continued

- + postponing final analysis or definition of problem until all possible information has been obtained
- + seeking multiple perspectives
- + seeking potentially disconfirming information
- + using notes and written materials for leads, categories of questions, and possible sources of information
- - asking unclear, leading, threatening, or yes/no questions
- - following only one track
- - making judgmental remarks
- - suggesting solutions during questioning
- - stopping too soon in the search for information
- - confusing facts with opinions or value-laden statements
- - disregarding the quality of information from individuals with low status

Rating Validity and Reliability:

- + taking thorough, complete, accurate notes
- + organizing information
- + sorting information into categories
- + maintaining a file on information gathered
- - failing to document or organize information
- - failing to sort information into what is known and verified, disputed, unknown, missing, etc.

- avoiding premature closure of the search for data;
- avoiding anchoring (e.g., selective lack of attention to important information that is inconsistent with earlier thinking or experience); and
- updating data files. (See Fig. 3-4 for additional behaviors.)

PROBLEM REPRESENTATION OR INTERPRETATION

While representing a problem, principals should scrutinize it carefully and describe its causes and consequences. The problem first should be categorized as being operational or strategic; discrete or emergent; a crisis or an opportunity. It also should also be classified according its degree of structure (see "Classification of Problems" in the literature review section). Next, principals define the extent of the problem by examining its parameters and viewing it from different perspectives. By identifying the problem's present, expected, and possible consequences, principals can represent the problem and suggest probable causes.

Specific behaviors of principals include:

- casting the problem as a series of linked events;
- identifying events linked to the problem;
- seeking confirmation of the linking of events;
- examining whether the problem can be viewed from a different perspective;.
- examining the seriousness of the problem;
- identifying the parties likely to

be affected by the problem and the seriousness of the effects;
- examining the problem's legal ramifications;
- categorizing the problem; and
- projecting the consequences of taking, or not taking action. (See Fig. 3-5 for additional behaviors.)

EVALUATION AND INTEGRATION OF INFORMATION

Effective behaviors are preceded by a "+," ineffective behaviors by a "-."

Categorization and Organization of Information Obtained:

+ assembling all information obtained
+ writing or sketching out how pieces are related
+ sorting information into categories (e.g., written or oral, verified or unverified, fact or opinion, agreed on or disputed by concerned parties, recorded observations or eyewitness accounts, objective or biased, etc.)
+ weighting information as to importance, completeness, verification, credibility, etc.
+ documenting the source, validity, and reliability of information
+ questioning the logic of the position of each piece of information in the analytical framework
+ synthesizing data
+ updating files on all information gathered and evaluated
- ignoring some information
- failing to organize
- disregarding statements of persons with low status
- forcing facts to fit foregone conclusions
- reaching unwarranted conclusions
- premature closure

Separation of Relevant and Irrelevant Information:

+ prioritizing information
+ considering source of information
+ discarding irrelevant, unverifiable, worthless, or misleading information
+ considering if the obvious is misleading
- giving too much weight to irrelevant information
- giving too much weight to assumptions or missing information
- ignoring information inconsistent with earlier thinking

Fig. 3-4

IDENTIFICATION OF CAUSAL FACTORS

This component involves generating and testing hypotheses. Principals must consider all relevant information when devising hypotheses. The hypotheses themselves should describe and test the probable relationship(s) among problem variables.

Specific behaviors of principals include:

- generating more than one hypothesis about the problem;
- seeking information that is relevant, confirmatory, or disconfirmatory to the hypothesis;
- framing hypotheses that are supported by objective evidence;
- separating the problem's symptoms from its causes; and
- testing hypotheses by convening a meeting of concerned parties and engaging in logical and inferential discussion. (See Fig. 3-6 for additional behaviors.)

REDEFINITION OF REPRESENTATION OR INTERPRETATION OF PROBLEM

Principals must reanalyze all information gathered *before* hypotheses testing and analyze all information revealed *during* hypotheses testing. This information then should be synthesized and the problem redefined if appropriate.

Specific behaviors of principals include:

- comparing all information obtained before hypotheses testing to information revealed during hypotheses testing;
- encouraging others to seek incongruencies in data; and
- posing the problem in new terms should the information warrant. (See Fig. 3-7 for additional behaviors.)

PROBLEM REPRESENTATION OR INTERPRETATION

Effective behaviors are preceded by a "+," ineffective behaviors by a "-."

Classification of Problem; Delineation of Problem Importance; Definition of Extent of Problem; Suggestion of Probable Causes; and Identification of Present, Expected, and Possible Consequences:

+ classifying the problem as structured or unstructured, crisis or opportunity, discrete or emergent
+ classifying the problem according to previous situations
+ sketching out problem as a series of linked events
+ using more than one way to represent problem
+ dividing problem into more manageable parts
+ assessing seriousness of problem
+ assessing frequency of problem
+ identifying affected parties and nature of consequences on each
+ seeking more information from appropriate sources if necessary
+ identifying importance of problem appropriately
+ classifying or categorizing problem
+ evaluating efforts to date spent in gathering, organizing, and analyzing information
+ projecting consequences of action and inaction
+ interpreting the problem in more than one way
- dealing with problem only as presented (at face value)
- making no attempt to break down problem into smaller parts
- considering solutions without adequate representation of problem
- failing to consider present/future consequences
- failing to seek out additional information if necessary
- giving problem too much/too little importance
- arbitrarily concluding that the present problem is identical to one that has previously occurred
- assuming that the problem as defined, researched, and analyzed is viewed similarly by the concerned parties

Fig. 3-5

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IDENTIFICATION OF CAUSAL FACTORS

Effective behaviors are preceded by a "+," ineffective behaviors by a "-."

Generation of Hypotheses:

+ generating multiple hypotheses about causes of problem
+ considering all aspects of problem
+ weighing individuals' and organizational concerns
+ recognizing probable multiplicity of causes
+ seeking information that is relevant, confirmatory, or disconfirmatory to the hypothesis
+ framing hypotheses supported by objective evidence
+ separating symptoms of the problem from its causes
- identifying only one hypothesis
- concentrating on only one aspect of problem
- ignoring motives, factors, etc., behind original, expressed issue

Testing of Hypotheses:

+ testing each hypothesis by referring to information previously gathered and making logical inferences
+ seeking out additional disconfirmatory evidence
+ selecting hypothesis best supported by objective evidence
+ separating manifestation (symptom) from problem (cause)
- failing to test hypothesis
- selecting hypothesis arbitrarily
- seeking only confirmatory evidence
- using terms like "feeling" or "gut reaction" in justifying hypothesis
- assuming that the hypothesis best supported by objective evidence is acceptable to concerned individuals

Fig. 3-6

PERFORMANCE STANDARDS

After completion of this domain, principals should be able to:

1) identify problem analysis as a critical step in solving problems and as an integral part of their jobs;

2) analyze work problems in a systematic and logical manner;

3) categorize problems according to general type;

4) describe the relationship of problem formulation to problem solution;

5) illustrate the barriers presented by personal behaviors and situational factors to problem analysis;

6) describe useful steps for identifying and analyzing information related to problems;

7) define connections between hypothesizing and problem analysis; and

8) describe the relationship of information synthesis to problem solution.

EDUCATION AND TRAINING

Problem analysis training has several critical components. Trainees should be exposed to effective and ineffective approaches to problem analysis and be given an opportunity to recognize and receive feedback on their problem analytic skills. Through feedback they can learn ways to overcome biases and avoid errors. They also should be given an opportunity to practice analysis techniques.

In addition, trainees should watch videos of principals using effective and ineffective approaches to problem analysis. They should attend lectures and discussions, and participate in simulations and role-playing involving work problems. These three methods will maximize learning and increase the likelihood that learned skills will be transferred into practice.

WORKSHOP

This workshop incorporates the critical components mentioned above into a training program. It capitalizes on the unique qualities of the three methods of training—lecture, discussion, and simulation/role-playing—and provides trainees with a coherent and enjoyable learning experience.

This 1-day workshop involves four to eight trainees; one trainer, or facilitator, is suggested. It is divided into five phases:

Phase 1—Introduction to Problem Analysis: A combination of lecture and discussion covers such topics as:

REDEFINITION OF REPRESENTATION OR INTERPRETATION OF THE PROBLEM

Effective behaviors are preceded by a "+," ineffective behaviors by a "-."

Analysis of Information Before Hypothesis along with Information Gathered from Hypothesis Testing:

- + comparing all information gained before hypotheses testing with the information learned from hypotheses testing
- + encouraging others to seek incongruity in the information
- - failing to compare information from hypotheses testing with information before hypotheses testing
- - ignoring information from hypotheses testing

Synthesis of All Information to Compare with Original Definition:

- + comparing the original problem definition with all information gathered
- - ignoring new information
- - overlooking some information
- - failing to re-examine the original problem definition

Redefinition of Problem If Needed:

- + posing problem in a new way, if the information warrants
- - failing to redefine the problem if the information warrants

Fig. 3-7

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- What is problem analysis?
- Why is it important to the school principal's job?
- What is its role in problem solving?

Phase 2: Self-Evaluation: This phase gives trainees an opportunity to evaluate their own approach to problem analysis. They are presented with a realistic work problem and asked to write out their strategy for approaching it. Trainees then are encouraged to share their strategies in a nondirective group discussion.

Phase 3—Presentation of a Model of Effective Problem Analysis: Trainers present trainees with a conceptual model of effective problem analysis and the behaviors associated with each of its key components. Trainees are encouraged to compare their strategies to the steps outlined in the model and identify similarities. Biases and errors commonly made in problem analysis are discussed (e.g., jumping to conclusions, attempting to solve problems without first analyzing them, etc.). Trainers have trainees consider the consequences of the different strategies and discuss why some are effective and some are ineffective.

Phase 4—Modeling: A video is shown to trainees that features a model—in this case, a principal—who is presented with a problem. The principal is shown "thinking out loud" and making some of the errors discussed in Phase 3. Trainers encourage trainees to identify these errors and discuss effective behaviors the principal could have employed. A second video then is shown. This time, the model—again, a principal—follows a logical and systematic approach to problem analysis. The positive results of this approach also are shown, and trainees are asked to discuss the principal's behavior.

Other discussion topics include:

- sources of information available in a school environment;
- obstacles that interfere with information collection and ways to overcome them;
- communication methods and the appropriateness of each in various situations; and
- the use of flow charts, lists, index cards, and other aids in the problem analysis process.

Phase 5—Practice and Feedback: When feasible, trainees should be divided into smaller groups of two or three trainees each. These groups each are assigned a different work problem and instructed to role-play the part of a principal. Trainees are encouraged to use what they have learned to analyze the problem. The trainer rotates among the different groups, giving guidance and feedback but not direct instruction. Each group then presents its strategies and receives constructive feedback and reinforcement from the trainer and the other groups. Issues, ideas, and problems that surface during these presentations are discussed.

As follow-up, trainees keep a log

of the problem situations they encounter on their jobs and describe the methods they used to analyze and solve them. These "real-life" situations are discussed in subsequent meetings.

RESOURCES FOR TEACHING PROBLEM ANALYSIS

The following resources will assist trainers in developing programs and materials for students:

Ewing, D. W. (1977). Discovering your problem-solving style. *Psychology Today, 11* (7), 69–73, 138.

Facilitative leadership. A 3-day workshop on planning, leading, decision making, problem analysis, problem solving, and action planning. Contact: Interaction Associates, 600 Townsend Street, Suite 550, San Francisco, CA 94103. (415) 241-8000.

Gorton, R. A., & Snowden, P.E. (1993). *School leadership and administration: Concepts, case studies, and simulations.* Dubuque, IA: W.C. Brown and Benchmark.

Haller, E. H., & Strike, K. A. (1986). *An introduction to educational administration: Social, legal, & ethical perspectives.* New York: Longman.

Janis, I. L., & Mann, L. (1977). *Decision making.* New York: Free Press.

Keefe, J. W. (1991). *Learning style: Cognitive and thinking skills.* Reston, VA: National Association of Secondary School Principals.

Kepner, C. H., & Tregoe, B. D. (1965). *The rational manager: A systematic approach to problem solving and decision making.* New York: McGraw-Hill.

Kepner, C. H., & Tregoe, B. D. (1981). *The new rational manager.* Princeton, NJ: Princeton Research Press.

Kowalski, T. J. (1991). *Case studies in educational leadership.* New York: Longman.

Krueger, J. (undated). *The Sierra Grande scenario.* A case study with a project assignment for groups in problem solving within educational organizations. The University of New Mexico, Albuquerque, NM 87131. (505) 277-4533.

Leadership for excellence. A long-term training program of 20 sessions with on-the-job applications after each session. Contact: Northwest Regional Educational Laboratory, 101 S.W. Main Street, Suite 500, Portland, OR 97204. (505) 275-9500.

Leak, L. E., McKay, A. B., Splaine, P., Walker, P. B., & Heid, C. A. (1990). *Professional development resource book for school principals*. A Maryland LEAD Center Publication. Contact: Lawrence Leak, Director, Maryland LEAD Center, College of Education, Benjamin Building, University of Maryland, College Park, MD 20742.

Lemley, R. E., & Robbins, W. R. (1986). *The Phyllis Johnson case study*. Consists of an in-basket, simulation, in-basket question matrix, skill dimension list, and instructions. $50.00. Order from Wayne Robbins, 4437 Fox Hollow Road, Suite #2, Eugene, OR 97405.

Maidment, R. (1987). *Conflict! A conversation about managing differences*. Reston, VA: National Association of Secondary School Principals.

Maidment, R. (1986). *Decisions: Perspectives for the school administrator*. Reston, VA: National Association of Secondary School Principals.

Maidment, R. (1989). *Time. Notations on time use for school administrators*. Reston, VA: National Association of Secondary School Principals.

Miller, R. (1989). *Team planning for educational leaders*. Focuses on prioritizing, identifying, and solving problems and on planning. Contact: Research for Better Schools, 444 North Third Street, Philadelphia, PA 19123.

Moran, J. W., & Talbot, R. P. (1990). Teaching people to act on information. *National Productivity Review, 9* (4), 429-438.

Neill, S. B. (January, 1984). *How to find and use information effectively*. Reston, VA: National Association of Secondary School Principals.

Phillips, S. R., & Bergquist, W. H. (1987). *Solutions: A guide to better problem solving*. San Diego: University Associates, Inc. Introduction to integrated problem management including techniques and strategies that constitute a comprehensive approach to problem solving.

Schainker, S., & McKibben, S. (1988). *Problem analysis*. A series of four training modules designed to teach the administrative skill areas assessed in the NASSP Assessment Center Project. San Francisco: Far West Regional Laboratory for Educational Research.

Springfield development program (1986). A 3-day seminar with emphasis on problem analysis and decision-making. The NASSP Assessment Center Project. Reston, VA: National Association of Secondary School Principals.

Sybouts, W., & Norton, M. S. (1989). *Springbrook.* A series of three in-basket exercises and simulations designed for beginning graduate students in educational administration. Contact: Ward Sybouts, Department of Educational Administration, 1204 Seaton Hall, University of Nebraska-Lincoln, Lincoln, NE 68588-0638. (402) 472-3726.

MEASUREMENT PROCEDURES

To measure knowledge of problem analysis, a combination of the following three methods is recommended:

1) behavior measurement scales filled out by trainees, mentors, peers, and others;

2) a written report; and

3) an oral interview.

Direct observation is less appropriate as a measurement tool because the skills used in problem analysis are internal and are employed over a lengthy period of time.

Some of the methods listed above are more appropriate for measuring skills in a particular stage of problem analysis than another. All, however, are designed to result in a specific numerical score, which may be used to make decisions about certification.

BEHAVIOR MEASUREMENT SCALES

Behavior measurement scales may be developed based on the lists in the knowledge and skills section and in Figs. 3-2 through 3-6. Separate scales can be devised and completed by either the trainees, their coworkers, or professional raters involved in the certification process. Each rating scale should have the following properties:

- a list of specific behaviors grouped into categories that correspond to the key components of problem analysis as outlined in the process model;
- clear and complete instructions for raters so that behaviors are rated on actual observance, or performance, and not on assumptions about what trainees would do;
- scores of "1" to "5," with specific behavioral examples noted that earn low, medium, and high marks. For example, if "identification of information needed" were one of the behaviors rated, a "1" might signify "always ignores and/or avoids seeking out additional information"; a "3" might signify "makes partial, sometimes successful attempts at identifying and/or obtaining additional information"; and a "5" might signify "always engages in a systematic and thorough process of identifying needed information and is successful at obtaining it."

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The scales also could be scored by averaging the rating of items and their subsets. The former could be used for certification purposes; the latter for providing feedback on improvement areas. Score ranges could be identified to demonstrate the following: "mastery," "some competency," "adequacy," or "needs further improvement."

Behavior measurement scales are appropriate for all of the key components of problem analysis. Their advantage is that they allow trainees to rate themselves and to be rated by their peers and others, and behaviors that might not have been demonstrated because of a limited observation period can be assessed. The disadvantage of this method is that ratings are subject to intentional and unintentional distortion.

WRITTEN REPORT

Presented with a problem scenario typical of what principals face, trainees would be instructed to write a report that assesses the problem, outlines strategies for analyzing and solving it, and explains how and why trainees approached the problem as they did. This written report could be scored on a standardized rating scale based on the key components and specific behaviors of problem analysis trainees reported and described. All raters would be trained in the use of the rating scales to assure that their ratings are accurate. In addition, experienced principals acting as "experts" would specify what they consider to be excellent, average, and/or fair examples of the issues discussed in the report.

This method is most appropriate for the latter stages of the process model. Some of its advantages are that it is standardized, requires less raters' time (compared to direct observation), and results in a numerical score. Its disadvantages are that it may not be representative of actual behavior and that test security could be endangered if trainees discuss the scenario or their answers with one another.

(Note: This method also allows for the assessment and measurement of some of the skills found in Domain 17, Written Expression.)

ORAL INTERVIEW

This method is similar to the written report except that it is conducted face-to-face with the trainee and one or more raters. Students are presented with a scenario and asked to do one of the following:

- describe how they would approach such a problem;
- actively explore the problem as they think aloud and use the raters as potential sources of information; or
- describe what they did when presented with a similar problem in the past.

Students would be informed in advance about what they will be rated on. Rating scales similar to those used for the written report could be used. (Again, raters would be trained carefully to assure reliability.)

This method is relevant for all key problem analysis components. The oral interview shares similar advantages and disadvantages with the written report. An additional advantage is that the raters can use prompting or follow-up questions to explore the students' skills in-depth. The disadvantage of this method is that it is more time-consuming for raters. (Note: This method allows for the assessment and measurement of some of the skills found in Domain 16, Oral and Nonverbal Expression.)

SELECTED MODELS

The following models are included to elaborate on the cognitive processing of information and the ways individuals deal with problem situations. They provide a broader understanding of problem analysis.

TECHNIQUES FOR EFFECTIVE DIAGNOSIS OF PROBLEMS (RICHARDS, 1974)

This model provides techniques on identifying and defining problems according to the following: their main aspects, or dimensions; the way others perceive them; the demands of problem situations; and the search for implicit assumptions in dealing with problems.

HEURISTICS (FROM NEWEL AND SIMON'S AND POLYA'S WORK AS DESCRIBED IN NICKERSON, PERKINS, AND SMITH, 1985)

Heuristics generally refer to alternative strategies to achieve objectives. For example, if representing a problem one way does not lead to a solution, the problem can be restated or reformulated, or inferences can be drawn from the initial state and desired state and added to one's representation. Heuristics also means breaking down the problem into small components, so as to make it manageable.

SOURCES OF MOTIVATION AND PROBLEM SOLVING (SHOWERS & CANTOR, 1985)

This framework identifies motivation sources (goals, moods, and expertise) and shows the relationship that exists between them and an individual's actions, as mediated by certain thought characteristics.

Showers and Cantor believe that personal goals, mood states, and prior relevant knowledge or expertise guide the individual's interpretation of a situation and his or her responses. They claim that under some circumstances, "people show flexibility in (a) adjusting interpretations in response to situational features, (b) taking control of their thoughts and plans, (c) seeing multiple alternatives for interpreting the same event or outcome, and (d) changing their own knowledge repertoire by adding new experiences and by reworking cherished beliefs, values and goals" (p. 277). Under other circumstances, people display inflexibility. Inflexible practices include clinging to favorite interpretations; exercising little active control over moods, self-defeating cognitions, and dysfunctional strategies; being trapped by perceptually salient and cognitively available stimuli; and having schemas and stereotypes in one's knowledge repertoire that are resistant to change. (See Fig. 3-8.)

SYSTEM MODEL FOR ORGANIZATIONAL PROBLEM ANALYSIS (HOY AND MISKEL, 1991)

This model is useful in diagnosing conflict or lack of congruence among the key system elements. The steps of the process are listed below along with descriptions of each.

Identify Symptoms: In many situations there is preliminary information that suggests a problem. Symptoms indicate symptoms only and not the presence of a problem; they may signal where to search for problem causes, however.

Identify Problems: In this model, a problem is defined as a difference between expected and actual outcomes. Data must be collected to verify the existence of a problem. Such data identify the existence of a problem but do not specify its causes.

Motivational Elements - - - - - Flexible Cognitive Strategies - - - - "Appropriate" Action

- Goals
- Mood
- Expertise

- Responsiveness to situations
- Active control
- Multiple interpretations
- Change in repertoire

Showers and Cantor's (1985) explanation of the relationship between sources of motivation and problem solving.

Fig. 3-8

Describe Organizational Elements: Information about concerned individuals and critical aspects of an organization's formal and informal structure must be collected.

Assess the Environmental Demands: Information must be collected about the critical constraints and demands present in the environment and how they relate to a problem.

Assess Congruence: Using the model and data collected, analyze the congruence among elements and how they fit with relevant environmental demands.

Diagnose Problem Causes: After analyzing the data for incongruencies, a determination must be made as to which conflicts are responsible for the problem. This determination is the judgment about the probable cause(s) of the problem.

Hoy and Miskel (1991) suggest that this model is more useful when combined with the following components of rational decision analysis: generation of alternatives, prediction of consequences for each alternative; and appropriate strategy selection.

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Hoy, W., & Miskel, C. (1991). *Educational administration: Theory, research, practice* (4th ed.). New York: McGraw-Hill.

Inhelder, B., & Piaget, J. (1958). *The growth of logical thinking: From childhood to adolescence.* New York: Basic Books.

Janis, I.L. (1985). *Stress, attitudes, and decisions.* Westport, CT: Prager Publishers.

Keith, S., & Girling, R. (1991). Education management, and participation. Boston: Allyn & Bacon.

McPherson, R.B., Crowson, R.L., and Pitner, N.J. (1986). *Managing uncertainty: Theory and practice in education.* Columbus, OH: Charles Merrill.

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Scott, W. E. (1985). *Behavioral principles in the practice of management.* New York: John Wiley and Sons.

Scribner, S. (1986). Thinking in action: Some characteristics of practical thought. In Steinberg, R. J., & Wagner, R.K. (Eds.), *Practical nature and origins of competence in everyday world.* Cambridge: Cambridge University Press.

Showers, C., & Cantor, N. (1985) Social cognition: A look at motivated strategies. *Annual Review of Psychology, 36,* 275–305.

Stager, M., & Leithwood, K. (1988). *Cognitive flexibility and inflexibility in principals' problem solving.* Paper presented at the Annual Meeting of the American Educational Research Association, New Orleans, LA.

Wickens, C. D. (1987). Information processing, decision making, and cognition. In Salvendy, G., (Ed.), *Handbook of human factors.* New York: Wiley-Interscience.

JUDGMENT

DOMAIN 4

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JUDGMENT

DEFINITION

Judgment: Reaching logical conclusions and making high quality, timely decisions based on the best available information; exhibiting tactical adaptability; giving priority to significant issues.

Given the dozens of decisions principals make daily, the quality of their judgment can spell the difference between excellence and mediocrity in schools. These decisions, in reality, are what educational administration is all about.

Although some of these decisions are relatively insignificant, most affect students directly or indirectly. At times, the weight of carefully collected evidence points to the best course of action that principals should take. More frequently, however, the decision-making process is neither rational nor systematic. Accordingly, principals must employ judgment to make good decisions under murky circumstances.

Judgment is a unique and important element of thinking. It drives the decision-making process by enabling principals to evaluate and choose among alternatives to achieve school objectives (Baron, 1988). Ultimately, it is one of the most powerful determinants of administrative success.

At the outset, it is important to distinguish between judgment and its common synonyms: conclusion, deduction, inference, and decision. A conclusion comes at the end of the reasoning process. Deduction refers to a reasoned conclusion based on a given set of facts or assumptions. Inference also connotes a reasoned conclusion, but one reached inductively. Decision refers to resolving a question or doubt by making a judgment.

LITERATURE REVIEW

Most authorities in the field agree with Hoy and Miskel's view of administrative decision making (1991). Hoy and Miskel contend that classic decision-making theory—which assumes that decision making is an optimizing strategy that enables principals to make completely rational decisions—is naive, idealistic, and of little use. According to the authors, classic theory assumes a rationality that does not exist, for rationality is limited by the principal's unconscious skills, habits, reflexes, values, conceptions of purpose, and knowledge. Decision making is more correctly a matter of "satisficing" (Simon, 1976); it is a process for making modestly rational decisions—decisions that are not necessarily final.

Judgment is at the very heart of the decision-making process and plays an important part in each of the six steps many principals unconsciously take when satisficing (Bazerman, 1986). (See Fig. 4-1.)

BASIS OF JUDGMENT

Little has been written about the role of judgment in educational administration. Research on judgment in the decision-making process has been the province of decision theorists in management science. Hogarth's (1980) work provides the conceptual foundation for understanding how judgment occurs and also provides the framework for the conceptual model presented later. (See Fig. 4-2.) Judgmental activity is a function of the task environment and the individual's characteristics. Judgments, actions, people, and situations are highly interactive. Each judgment and action a principal makes or anticipates is a result of his or her "personality" interacting with the situation as he or she views it. This personal view includes and is often driven by events of the past as well as by the principal's values, attitudes, and emotions.

Judgment is made on the basis of information that has been processed and transformed by the decision-maker. Therefore, it can be considered an information analysis activity, a series of operations related to information, events, and experiences. (See Domain 2, Information Collection.)

Judgment is limited by human shortcomings in information processing. These include 1) the nature of information processing, 2) the use of simplifying strategies (heuristics), and 3) the indivi-

Six Steps in the Decision-Making Process

Step	Role of Judgment
1) Define the problem	Judge to identify the big problem and avoid focusing on symptoms
2) Criteria identification	Judge what criteria are relevant
3) Criteria weighing	Judge what criteria are most important
4) Generate alternatives	Judge where and how to search for alternatives and for how long
5) Ranking alternatives	Judge the consequences of various choices
6) Implementing decision	Judge who should implement the decision and when and how the decision should be implemented

Fig. 4-1

dual's limited memory capacity.

The first shortcoming occurs when an individual has difficulty integrating large amounts of information or when he or she tends to process information in a sequential manner and, thereby, creates opportunities for error. The second shortcoming occurs when an individual simplifies to save mental effort, ignoring factors important to predicting outcomes. (For example, rather than use job-related criteria to evaluate all the characteristics of a potential employee, a principal may compare an individual with someone who was successful or unsuccessful in the position.) The third shortcoming occurs when an individual is unable to retain all that he or she learns or when information is changed through processing.

Judgment, in summary, is a function of interactions between the person and the task, together with thorough and effective information processing. To overcome shortcomings and improve judgment, therefore, it is necessary to enhance core thinking and readiness skills. These important skills are discussed in the knowledge and skills section below.

THE JUDGMENT-ACTION MODEL

The model presented in Fig. 4-2 is an adaptation of Hogarth's (1980) schematic representation of judgment-action situations.

According to the model, there are three key elements in the process. First, the individual who will make a judgment; second, the task environment in which a decision will be made; and third, actions that result from an individual's judgment and that will subsequently affect the individual and the task environment.

To be specific, consider the example of a principal who must make a judgment about which teachers to assign to work with a group of at-risk students. The principal's "mindset" is that older teachers do not like to teach such students and that they will not provide the type of environment in which these students can best succeed. The principal's mindset is a result of his or her previous experiences in which older teachers did not work well with at-risk students.

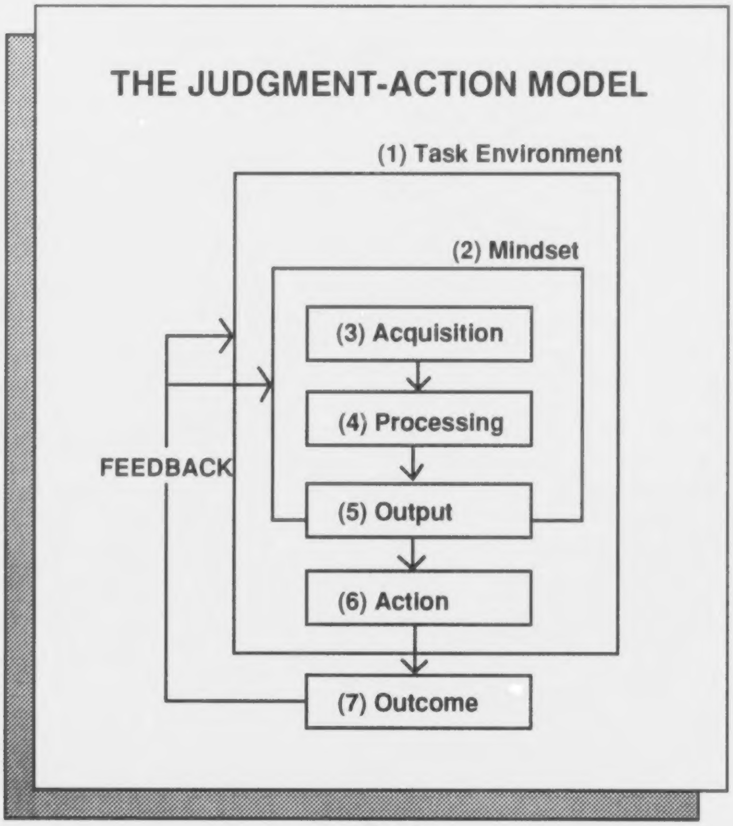

Fig. 4-2

A mindset is created by the individual's memory and the characteristics of the judgmental task (e.g., the teachers' age distribution, the students' characteristics). The actual processing of information can be broken down into three operations: information acquisition (box 3 in the model), information processing (box 4), and output (box 5).

When searching for information about which teachers to assign, the principal accesses information from his or her memory (past experiences/beliefs) and from the environment (available teachers). After the principal processes it, he or she makes a judgment that only younger teachers will be assigned to teach the at-risk students. This is the output (box 5), and it is frequently indistinguishable from the action (box 6), which is the actual assignment of the teachers. The action leads to an outcome (box 7). Possible outcomes might include a positive experience for all students and/or teachers, a negative experience for all students and/or teachers, or a negative experience for one subset of participants, such as older teachers. The outcome feeds back into the task environment and the principal's mindset, which affect future decisions.

KNOWLEDGE AND SKILLS

The processes required to make judgments call for highly developed skills. One set of skills is defined as core thinking skills, which actually are information-processing skills. The other set of skills, called readiness skills, is required to maximize utilization of the core thinking skills. Both sets of skills are presented below, accompanied by the subskills or key behaviors that define their application in practice.

CORE THINKING SKILLS

Information processing requires thinking skills. Whether a principal is scanning the environment to identify a potential problem, acquiring or evaluating information, or moving toward judgment, his or her ability to think clearly is paramount.

The core thinking skills identified as critical for making good judgments borrow heavily from those identified in *Dimensions of Thinking* (Marzano et al., 1988) but include other important concepts. (A more complete explanation of concepts such as analysis and evaluation is included in Domain 3, Problem Analysis.) These skills are not presented in order of use; in fact, many are used simultaneously when making judgments.

After the description of each skill will be an example of how that skill can be used to solve the problems a principal may face when implementing a new program.

Focusing: Focusing occurs when principals first sense a problem and attend to or discard pieces of selected information to confirm and define the problem. Considerable evidence in the literature supports the view that a broad understanding of concepts, issues, and relationships is helpful in sensing, defining, and solving a problem. The literature also confirms that focused attention on a problem plays a vital role in solving it (Marzano et al., 1988; Tversky & Kahneman, 1974).

Key behaviors of effective principals to sense real or potential problems include:

- applying a broad knowledge base in education and leadership when determining key decision areas;
- selecting the most relevant pieces of information and ignoring others; and
- determining factors that are problem cues or problem symptoms to focus attention better when making a decision.

Example: When implementing new programs, principals use focusing skills to concentrate on issues related to the innovation and on new issues that may arise because of it.

Information Collection: Information collection skills are used to collect information or to increase awareness of information so that principals can make judgments, solve problems, and introduce innovations. Information collection is primarily a function of observation and question formulation. (See Domain 2, Information Collection.)

Through observation, principals formulate preliminary hypotheses, focus their attention, and make full use of their senses to collect additional information. The quality of the information they collect depends on their ability to formulate questions and dig below the surface to explore issues more deeply.

Good questions generate new information and focus the principals' attention on important information. Good questions help principals determine what information they need and where and how to obtain it. Finally, good questions help principals consider alternative choices and make inferences from similar previous situations (Marzano et al., 1988).

Key behaviors of effective principals to collect information and/or to bring it to attention include:

- scanning the environment for information through readings, discussions, observations, and questioning;
- determining what information is needed in order to make a judgment;
- determining the possible source of the necessary information;
- determining the most efficient and effective source of information (developing criteria);
- examining similar situations to make inferences that expand knowledge; and
- determining the most effective method of collecting information.

Example: When implementing new programs, principals use information collection skills to observe individuals and events in order to collect information about how well innovations are working, identify the problems staff are experiencing, etc.

Organizing: Organizing skills help principals arrange information so it can be better understood. Information that has been classified by common features and represented in a schemata is more meaningful and enables principals to see relationships and interrelated concepts more easily. Putting information in order also helps principals locate, select, sequence, integrate, and restructure it. Effective organizational structures include outlines, maps, graphs, tables, models, chains, hierarchies, etc. (Marzano et al., 1988; Jones, Tinzman, Friedman, & Walker, 1987).

Key behaviors of effective principals to arrange information in order to maximize understanding and analysis include:

- categorizing and sequencing information to enhance understanding and recall; and
- representing information in a manner that clarifies relationships, promotes understanding, and enhances recall.

Example: When implementing new programs, principals use organizing skills to categorize problems, noting the features common to those experiencing problems, and identifying the chain of events that led to the problems.

Analyzing: Analyzing skills clarify information and enable principals to "look inside" issues and ideas. When confronted with problems, principals must first identify and understand crucial problem elements and their interrelationships. This requires in-depth understanding of the elements and an ability to think logically. It also requires an ability to deal with considerable ambiguity and multiple relationships (Marzano et al., 1988; Ungson & Braunstein, 1982). (See also Domain 3, Problem Analysis.)

Key behaviors of effective principals to examine specific information elements and their interrelatedness include:

- identifying and clarifying various problem elements in order to analyze, evaluate, and integrate them;
- identifying the relationships among specific elements; and
- identifying the effects of various courses of actions.

Example: When implementing new programs, principals use analyzing skills to identify the people, roles, activities, and contextual elements involved in innovations and to develop hypotheses concerning the interrelationships among elements.

Integrating: Integrating skills enable principals to condense and piece together various problem elements, discard unimportant information, and build meaningful connections between new information and prior knowledge. Integrating skills help principals see the school as a system to distinguish whole patterns and the interconnectedness that gives a school community its unique character. Integrating skills demand that principals understand the dynamic complexity of their professional world and that they be able to provide complex answers to complex problems (Marzano et al., 1988; Nickerson, Perkins, Smith, 1985; Senge, 1990).

Key behaviors of effective principals to piece together relevant information in order to form a concept or idea include:

- connecting relevant parts so that the relationships within the whole are clear;
- connecting relevant parts to present and future situational elements;

- deleting trivial and redundant information;
- identifying patterns and connections among concepts; and
- developing new meanings from the integration of concepts.

Example: When implementing new programs, principals use integrating skills to observe the interrelationships among elements and to understand how two or more causes can combine to form a new problem. Principals also use these skills to consider anticipated actions, concerns, and other information. They then identify the people, roles, activities, and contextual elements involved in the innovation and develop hypotheses concerning the interrelationships among them.

Evaluating: Evaluation is critical to judgment, and the skills associated with it enable principals to apply good judgment in using each of the core thinking skills and in making decisions. Evaluation skills, combined with others (e.g., reasoning), help assess prospects in the various stages of making judgments. They enable principals to verify the validity and importance of information and to assess potential courses of action. To evaluate well, principals must be able to identify and apply criteria on which judgments can be based. It is best to develop criteria systematically and to avoid their growth at unconscious levels. When formulating criteria, it is important to ask central questions, such as, "What is important here?" Applying criteria requires highly developed reasoning and other core skills (Ennis, 1987; Baron, 1988).

Key behaviors of effective principals to assess the reasonableness, quality, or relative importance of information include:

- developing and using criteria for judging information and reaching conclusions;
- verifying or confirming the validity of information; and
- determining the relative importance or value of information and activities.

Example: When implementing new programs, principals use evaluative skills throughout the decision-making process. The quality of the principals' judgment in planning and implementing innovation, ultimately, depends on their evaluative skill level, from initial information processing to final decision.

READINESS SKILLS

All principals are unique and bring to the workplace different levels of readiness for using thinking skills to make judgments. Although readiness level is affected by personality traits and characteristics, it can be developed through classroom instruction, practice, feedback, and coaching. The following skills are particularly important in this regard:

Objectifying: The decisions that principals face—many of which are value-laden—usually have no right or wrong answers. Nevertheless, one of the biggest decision-making challenges principals face is the tendency to make judgment errors because of bias. Bias is a systematic, directional tendency to make choices that violate the rules of logic. Frequently, biases result from simplifying strategies principals employ when making decisions.

Three general tendencies have been identified by Tversky and Kahneman (1974) in their seminal work on bias in decision making. The first is availability bias, which occurs when managers assess the frequency, probability, or likely causes of an event by the degree to which instances or occurrences are readily "available" in memory. Because information availability is systematically affected by other unrelated factors, the decision-maker's perception may cause judgment errors (e.g., the employee closest to the principal's office receives a more critical evaluation because the principal is more aware of his or her mistakes.)

The second type of bias is called representative bias. It occurs when administrators assess the likelihood of an occurrence by the similarity of other like incidents, products, or people (e.g., a principal predicts employee performance based on the performance of other persons with similar characteristics).

The third type of bias is called anchoring and adjustment. It occurs when administrators make initial judgments and adjust, rather than use, available information (e.g., a principal chooses the same staff development approach used last year solely because the same amount of money is budgeted this year as last).

Although it may be impossible to eliminate bias from judgment, it can be reduced through training and development and by providing alternative judgment improvement strategies (Bazerman, 1986).

Key behaviors of effective principals to control or eliminate the tendency to violate rules of logic include:

- understanding the various sources of bias; and
- using methods to control bias when making judgments.

Remembering: Memory plays a significant role in judgment. A principal, for example, may process information about a particular incident based on his or her prior experience. Unlike a computer, however, the principal may lose some information or distort it, which results in judgment errors. Nevertheless, while a good memory is important, it cannot ensure good judgment (Hogarth, 1980).

Human memory is limited and depends on two basic principles: that information can be encoded in more or less efficient ways that increase or decrease memory capacity, and that the way in which things are remembered is a function of the meaning given to them.

Memory recall is based on information fragments that the mind enters as a whole and relates to previous events and experiences. To improve memory and recall, principals can engage in mnemonics, rehearsal thinking (walking through in advance all information and possibilities), and other activities (Marzano et al., 1988; Jenkins, 1975).

Key behaviors of effective principals for storing and recalling information from long-term memory include:

- using rehearsal thinking;
- using time, place, and modality cues to recall information; and
- linking bits of information for storage by mnemonics, repetition, and other means.

Reflection: Judgment is a reflective function. When administrators examine issues and concerns triggered by personal experiences that clarify meaning, they arrive at new understandings and appreciation of those issues and concerns (Boyd & Fales, 1983; Boud, Keough, & Walker, 1985).

Principals can improve their judgment by probing their habitual ways of thinking and exploring the context in which this thinking takes place. In addition, they can use their imagination to identify or improve alternative decisions. They also can reflect upon their actions. For example, when making decisions, principals can ask themselves, "What criteria am I using to make this judgment?"

Finally, reflection can be used to counterbalance the effects of "overlearning," the repetition of errors due to repetitive thinking and behaving (Schön, 1983).

Key behaviors of effective principals for reflecting upon the ways in which their thinking affects judgments include:

- reflecting upon information related to decisions; and
- reflecting upon thinking and judgments before, during, and after practice.

Creativity: Although creativity has received scant attention in educational administration, it appears to be an important factor in decision making and judgment. Principals often engage in creative thinking to resolve difficult problems by combining ideas in new ways and critically evaluating these concepts to increase understanding and insight. Creativity enables them to imagine different outcomes, or, at the very least, the likelihood of different alternatives. Principals who fail to use their imagination severely limit their ability to make judgments.

Creative thinking involves many cognitive phenomena acting to form original relationships or patterns resulting in a new synthesis; it involves application of data and comprehension and the recall of considerable experience and data (Beyer, 1987). It is employed at various points in problem solving, decision making, and conceptualizing. Principals, for example, use it to "think up alternatives" and to develop quality judgments using techniques such as brainstorming, elaboration, and synectics to stimulate, trigger, or facilitate creativity. Creative thinking also appears to be linked to thought integration (Halpern, 1984) and to results (Perkins, 1984).

Key behaviors of effective principals for forming new combinations of ideas include:

- brainstorming ideas or alternatives;
- imagining desired states; and
- developing new ideas or alternatives from associations or connections.

Reasoning: Deductive and inductive reasoning are essential to good judgment. Deductive reasoning requires logical inference—the drawing of conclusions through the examination of facts, assumptions, or basic premises. Inductive reasoning goes beyond given information; it requires principals to draw conclusions by observing a number of specific instances in which something was true.

Most syllogisms involve deductive reasoning. Consider the example below, which demonstrates the need for information collection, analysis, evaluation, and other core thinking and readiness skills.

- Only principals in trouble get called to the superintendent's office.
- Mary, a principal, was called to the superintendent's office.
- Mary is in trouble.

Reasoning is typically taught in logic and philosophy (see Domain 18, Philosophical and Cultural Values). The key skills associated with it, however, are analysis and evaluation. Data must be searched to find evidence that it meets relevant criteria; they also must be evaluated to determine if they match the criteria. This is the essence of judgment.

Key behaviors of effective principals for reaching conclusions based on logic include:

- making valid inferences from specific sets of facts;
- understanding how to determine relevant cause and effect relationships;
- formulating working hypotheses or propositions; and
- reexamining the validity of basic premises.

Emotional Control: Emotions influence the way decision-makers formulate problems and assign priorities (the highest priority usually is given to satisfying the decision-maker's emotional needs). Emotions—be they anger, elation, depression, or fear—also limit the range of alternatives principals will consider, for they restrict the search for information, bias the assimilation of pertinent factual evidence, and—more seriously—preclude careful examination of the costs and risks associated with a preferred course of action.

Although emotions should not dominate the decision-making process, they can positively affect judgment. Principals who pay attention to their gut reactions after following typical judgmental procedures, for example, can prevent themselves and others from acting too quickly or from closing off an issue prematurely. Emotions also present an opportunity for principals to reevaluate a position. For example, if one of two teacher candidates is more appealing upon completion of an objective hiring process, a principal may examine his or her feelings as to which candidate is preferred. Upon reflection, the principal may realize that he or she was upset when one candidate was interviewed.

(It should be noted, however, that gut feelings alone do not form the basis of sound judgments; rather, they usually result in impulsive, ill-conceived decisions.)

Principals must be aware of their emotions when making judgments and apply strategies to reduce their negative effects. Such strategies include "going to the balcony" (i.e., putting themselves above the situation to avoid the emotional aspects), best and worst case scenario, imaging, and others.

Key behaviors of effective principals for controlling emotions and attitudes when making judgments include:

- determining if alternatives and choices are morally right; and
- using methods to neutralize or enhance emotional states or attitudes during judgment activities.

Ethics: Values are beliefs about what is intrinsically desirable; they underlie judgments and give rise to ideals that are called ethics. These ideals, in the form of conduct codes, furnish criteria for distinguishing between right and wrong (Guy, 1990). Values also serve as a perceptual screen for the decision-maker, affecting both problem awareness and the information concerning it. Values help screen possible alternatives and serve as criteria against which higher order goals are assessed and projected (Lipham & Hoeh, 1974).

Principals frequently find themselves in situations that offer conflicting and competing demands. In these instances, the following values can provide a means for judging choices and behaviors: caring, honesty, accountability, promise keeping, pursuit of excellence, loyalty, fairness, integrity, respect for others, and responsible citizenship (Barry, 1974; Beauchamp & Bowie, 1979; Josephson, 1988; Solomon & Hanson, 1985). (See also Domain 15, Interpersonal Sensitivity.)

When making decisions, it is important for principals to remember that there is more than one answer to most ethical dilemmas; usually several answers, in fact. To choose the best or most appropriate one, principals must determine what values are at stake and then select the best of the alternatives that support them. In addition, principals must incorporate ethical considerations into the judgment process by continually asking themselves, "Is this the right thing to do?" Ethics provide the moral framework for answering such questions. (See also Domain 18, Philosophical and Cultural Values.)

Key behaviors of effective principals for doing what is morally right include:

- considering others' rights;
- determining ethical standards; and
- determining right or wrong behavior.

PERFORMANCE STANDARDS

Upon completion of this domain, principals should be able to:

1) identify the core thinking and readiness skills that promote effective judgment;

2) make effective judgments about what is a real or potential problem;

3) identify their weaknesses and enhance their strengths as each relates to core thinking and readiness skills;

4) determine the availability of information to solve problems or to make decisions and to be alert to new and unexpected information;

5) organize information so that it enhances understanding and recall;

6) judge the reliability, quality, and importance of information and ideas;

7) examine information and ideas and demonstrate an understanding of them as they relate to the big picture;

8) integrate information and ideas in a manner that facilitates effective analysis and evaluation;

9) examine relationships among concepts and ideas to provide a basis for making effective judgments;

10) acquire additional information to enhance judgment effectiveness;

11) reach conclusions based on logic;

12) store and recall information at a level sufficient to make effective judgments;

13) control emotions so that they do not interfere with effective judgment;

14) control bias when making judgments;

15) use reflection to enhance judgment;

TRAINING MATRIX FOR CORE THINKING SKILLS

Core Thinking Skills	Presentation of Basic Concepts	Targeted Discussion With Experimental Learning	Guided Practice	Other
Focus: breadth and depth of understanding				read, discuss, experience
Problem Cues/Needs		X	X	
Information Collection				
• scanning	X		X	
• information needed		X	X	
• source of information		X	X	
• source efficiency/ effectiveness criteria	X	X	X	
• method of collection		X	X	
Organizing:				
• classify/categorize	X		X	
• sequence		X		
• represent	X		X	
Analyzing:				
• specific parts		X	X	
• relationships of specific parts		X	X	
• effects		X	X	
Integrating:				
• connect new concepts		X	X	
• relationships within whole		X	X	
• connect to situation		X	X	
Evaluation:				
• develop/use criteria	X		X	
• verification		X	X	
• importance	X	X	X	

Fig. 4-3

16) make judgments that are morally responsible; and

17) develop new ideas using creative strategies.

EDUCATION AND TRAINING

Most authorities agree that training can develop judgment and thinking. A number of programs have had considerable success employing heuristics (simplifying strategies) to enhance student skills in areas related to judgment (Nickerson, Perkins, Smith, 1985). Authorities contend that the judgment of principals can be enhanced if principals become aware of the theoretical elements of judgment and of techniques for improving decision making. One such method is debiasing. Fischoff (1982) proposes the following strategies for eliminating unwanted biases: warning about the possibility of bias, describing the direction of the bias, providing feedback, and offering an extended training program that includes feedback, coaching, and whatever else it takes to improve judgment.

A matrix of training activities for enhancing both thinking and readiness skills is provided in Figs. 4-3 and 4-4; it should be integrated throughout the preparation program. Although these skills can be learned separately, judgment is best enhanced when the skills are integrated and learned in situations that approximate real life.

Education and training for this domain are designed according to the following premises:

1) that trainees come to the training experience lacking some prerequisite knowledge;

2) that other prerequisite knowledge is best learned through focused presentation whereas this knowledge is best acquired through simulated learning situations that promote deductive learning; and

3) that some core thinking and readiness skills are best refined and enhanced through guided practice.

JUDGMENT MODEL

Trainees should be required to write a brief paper outlining the judgment model found in Fig. 4-2 and describing each of its elements. In addition, they should expect to define each core thinking and readiness skill and describe how it relates to judgment.

ASSESSMENTS

Trainees should complete a self-assessment and ask peers to critique their thinking and readiness skills so that they may become more aware of their strengths and weaknesses as well as the ways they can enhance skill develop-

TRAINING MATRIX FOR READINESS SKILLS

Readiness Skills	Presentation of Basic Concepts	Targeted Discussion With Experimental Learning	Guided Practice	Other
Reasoning:				
• understand cause and effect	X		X	
• formulate hypotheses		X	X	
• validate basic premise		X	X	
Remembering:				
• linking for storage	X		X	
• memory jogger		X	X	
Self-Controlling				
• monitor emotional state/attitude		X	X	Role play
• neutralize/enhance emotional state		X		Role play
Objectifying:				
• source of bias	X		X	
• control of bias		X		
Ethics:				
• right and wrong	X	X		Paper
• ethical standard		X		Paper
Creativity:				
• brainstorm	X		X	
• association	X		X	
Reflecting:				
• information		X		
• thinking		X		

Fig. 4-4

ment (see Fig. 4-5). In addition, it is suggested that trainees develop a growth plan to strengthen their skills. A readiness skill development plan is described in more detail below. (This exercise reflects performance standards 2 and 4 to 17.)

READINESS SKILL DEVELOPMENT PLAN

Trainees should be asked to use their self-assessments and peer critiques to identify the readiness skills that need to be strengthened. In addition, trainees should identify knowledge sources for that subskill and write a concise exposition of the relevant aspects. They then should share their work with others and develop a plan to strengthen one or more subskills. The plan should include the following:

- a specific goal;
- the reasons for setting the goal;
- specifics on what trainees will do to acquire the necessary knowledge or improve the specific skill(s);
- specifics on how trainees will measure skill improvement; and
- specifics on who will provide trainees with support and performance feedback throughout the duration of the plan. (This exercise reflects performance standard 3.)

CRITERIA ANALYSIS

Trainers should use a criteria analysis scenario to help trainees utilize criteria to evaluate various aspects of information processing and problems. (See Fig. 4-6.) Trainees should be asked to read the scenarios and then list the criteria selected for evaluation in each instance. Finally, trainees should share their findings, first with a selected partner and then with the group. (This exercise reflects performance standard 6.)

BIAS EXERCISE

Trainees should complete bias identification activities on their own and then meet with other group members to examine each bias and how it applies to the leadership role. After the group discussion, trainees should be required to provide specific examples to demonstrate their understanding of bias as it affects judgment. (This exercise reflects performance standard 4.)

SKILL IMPROVEMENT

Skills, habits, and attitudes are best enhanced when trainees identify the behaviors they want to change and their reasons and plans for changing them. Accordingly, they should carefully and

CORE THINKING AND READINESS SKILLS ANALYSIS

Please examine each of the statements below and use the following scale to indicate the extent of your effectiveness in using these skills in making judgments in the decision-making process: 1=very ineffective, 2=ineffective, 3=effective, 4=very effective, 5=don't know. (This self-rating scale may be adapted for rating by others.)

Core Thinking Skills

Focusing:

- Sense real or potential problems/issues in need of attention
- Select most relevant pieces of information and disregard others
- Determine factors that serve as symptoms of a problem
- Determine the need for focused attention on making a decision

Information Collection:

- Collect information through relevant reading, discussion, observation, and questioning
- Determine information needed (who, what, when, where) to make judgment
- Determine appropriate sources of information
- Determine the most efficient and effective sources of information
- Examine similar situations to make inferences that expand knowledge base

Organizing:

- Classify/categorize information so as to enhance understanding and recall
- Sequence information so as to enhance understanding and recall
- Represent information in a manner that classifies relationships, promotes understanding, and enhances recall

Analyzing:

- Identify the relationships between specific parts
- Identify the effects of various actions taken
- Examine specific parts to make specific determinations including the relationship between parts

Integrating:

- Connect the relevant parts so that relationships within the whole are clear
- Connect the relevant parts to situational elements, present and future
- Delete trivial, redundant information
- Identify patterns and connections between concepts
- Develop new meanings from integration of concepts

Evaluating

- Develop and utilize criteria for judging information and reaching conclusions
- Verify/confirm the validity of information
- Determine the relative importance/value of information and activities

Fig. 4-5 continued on next page

Fig. 4-5

Fig. 4-5 continued

Readiness Skills

Remembering:
- Use rehearsal thinking
- Use memory joggers such as time, place, and modality cues to recall information
- Link bits of information for storage by mnemonics, repeating, and other means

Objectifying:
- Understand the various sources of bias
- Use methods to control for bias in making judgments

Controlling self:
- Control emotions and attitudes when making judgments
- Use methods to neutralize or enhance emotional state of attitudes during judgment activities

Ethics
- Consider rights of others
- Determine ethical standards
- Determine if alternatives and choices are morally right

Reasoning:
- Understand how to determine relevant cause and effect relationships
- Formulate working hypotheses or propositions
- Reexamine the validity of basic premises

Creativity:
- Brainstorm ideas/alternatives
- Envision a desired state
- Form new combinations of ideas from previous information

Reflecting:
- Reflect on information related to decisions to be made
- Reflect on thinking and judgments before, during, and after practice

persistently work to improve those behaviors. Specific incident cards and "notes to myself" can be used to assist trainees in this regard. (This exercise reflects performance standards 2 to 17.)

CASE STUDY

Judgment requires the use of higher order thinking skills as well as other complex skills. Thus, it is necessary for trainees to engage in "hands-on" experiences for application-level learning. Case studies provide opportunities to acquire skills using real-world situations. (Sources for them are suggested at the end of this section.)

It is recommended that incident case studies be used to give trainees an opportunity to learn specific subskills; the comprehensive case study should be used to provide guided practice using all of the core thinking and readiness skills. The case study guide is helpful in using the case study. (See Figs. 4-7 and 4-8.) In addition, the following guidelines are suggested:

- Choose the specific core thinking and readiness skill(s) to be addressed and the case to be used.
- Assign the case study to the trainees to read. (Although it is recommended that trainees be given sufficient time to read the comprehensive case studies, they occasionally should be asked to respond quickly to specific incident case studies.)
- Ask trainees to respond to relevant questions. These questions also can be used to facilitate discussion or to check the trainees' understanding.
- Facilitate discussion by putting trainees in groups of four and asking them to share their responses. Ask them to develop a

CRITERIA ANALYSIS

1) Think back over your professional life and choose the most successful educational experience in which you were involved, either as a principal, teacher, or learner. Why do you consider it successful? What features of the experience can you point to that were present at that time that have not been present in other educational situations in which you have been involved?

2) Imagine that you are a principal employed to improve a program similar to the one in which you currently work. What features would you be looking for as evidence that the program you develop is working well?

3) Imagine that you have been successful in your application for an unlimited government grant to organize the best example of an educational program in education. What methods and curricula would you use to put this program in place, and how would you know that you had been successful in achieving your goal?

4) Imagine that principals have recently been accused of various kinds of malpractice or professional negligence. You have been given the task of heading a commission of inquiry to establish a code of conduct to govern their activities. What would be the three most important indicators you would choose as evidence that someone was performing professionally?

5) Imagine that you have been made principal of the school in which you are currently working. Draft a one-paragraph mission statement that summarizes what you regard as the most important goals of the program. What evidence would you plan to look for to satisfy you that your mission statement was being implemented?

Fig. 4-6

CASE STUDY GUIDE FOR CORE THINKING SKILLS

Below are questions designed to help use the core thinking skills needed to make effective judgments in the case studies.

Focusing

1) What are the key situational factors to be considered in decision making?
2) What factors serve as problem cues or symptoms, or which signal the need for focused attention in decision making?
3) Why did you choose these factors?

Information Collection

1) What situation-specific questions did you ask to identify the needed information?
2) What specific information sources will you use?
3) What source(s) of information appear(s) to be most efficient and effective?
4) What criteria were used to determine the most efficient and effective sources?

Organizing

1) What case study elements can be organized into specific categories?
2) How would these categories be labeled?
3) What is the sequence of key events related to the problem or decision?
4) How would you graphically depict problem elements to enhance understanding and analysis?

Analyzing

1) What elements or factors must be analyzed?
2) How are specific elements or types of elements related?
3) What are the consequences of proposed actions?

Integrating

1) What new concepts emerged from connecting or combining concepts?
2) What are the relationships between elements and the whole?
3) What are the relationships between elements within the whole and possible future events?

Evaluating

1) What criteria did you use in judging information?
2) What criteria did you use in judging conclusions?
3) What criteria did you use in determining the relative importance of the problem?
4) What criteria did you use in determining the relative value of selected alternatives?
5) What criteria did you use in evaluating your solution?

Fig. 4-7

CASE STUDY GUIDE FOR READINESS SKILLS

Below are questions designed to help use the readiness skills needed to make effective judgments in the case studies.

Objectifying

1) What sources of bias in making judgments are most prevalent in this situation?
2) What are you doing to control for bias in this situation?

Remembering

1) What relevant information do you have in memory and how might it be activated?
2) What information should you store in memory and what cues will help you to recall it?

Reflecting

1) Have you thought deeply enough about the problem to make an effective judgment?
2) Are you thinking about the problem in a manner that will enhance judgment in this situation?
3) What will you do to improve your way of thinking about this specific situation?
4) Are you reflecting before, during, and after making judgments to improve your thinking skill?
5) What will you do to enhance your reflection skills?

Creativity

1) Are you open-minded?
2) Are you using "possibility thinking"?
3) How do you develop more and better options?

Reasoning

1) What are the problem's causes and the relationship among situational factors?
2) What propositions did you formulate?
3) What working hypotheses need to be tested?
4) What are your basic premises?
5) Are your basic premises valid?

Emotional Control

1) What emotions influence you as you analyze and make judgments?
2) What attitudes do you bring to this situation that may influence how you make judgments?
3) What should you do to neutralize or enhance your emotions/attitudes in this situation?

Ethics

1) Are the alternatives you are considering morally right?
2) Are the alternatives fair and equitable?

Fig. 4-8

"Guide to Using Core Thinking or Readiness Skills." Debrief trainees by focusing on each of the core thinking and readiness skills.

- Ask trainees to use their self-analysis to identify the core thinking skills or readiness skills that they need to strengthen. (This exercise reflects performance standards 2-17.)

MEASUREMENT PROCEDURES

Assessing judgment is a significant but worthy challenge. In addition to the improbabilities that accompany thinking, there are serious problems in measuring learning at the highest levels of Bloom's taxonomy (i.e., synthesis and evaluation). While trainers typically do an adequate job of assessing knowledge, it is more difficult to measure higher skill levels and the effectiveness of the trainees' judgment in various situations and at varied stress levels. Making valid assessments of judgment is important, however. Accordingly, the following three methods are recommended for measuring judgment skills and subskills:

1) assessment of trainees' knowledge of subskill or key behavior concepts;

2) assessment of trainees' application of skills in simulated settings; and

3) assessment of trainees' application of skills in clinical settings.

An analysis of core thinking and readiness skills should be conducted early in the training program and specific skills targeted for improvement. In addition, it is strongly recommended that analysis and evaluation be stressed throughout the preparation program. This can be accomplished through activities suggested in the educational training section above. Judgment also can be enhanced significantly through continuous emphasis on analysis and evaluation in classroom discussions and coaching sessions.

Knowledge assessment is best conducted in the learning situation. Trainees can demonstrate knowledge proficiency using typical paper and pencil exercises as well as reports, interviews, discussions, etc. In addition, they should be assessed on the application of skills in simulated settings via observation, performance, written activities, and self-assessments. It also is recommended that clinical settings be used to assess performance. Trainers can meet with the trainees' mentors, resident principals, and others who have had a sufficient opportunity to observe trainees or examine their work. These individuals can clarify, discuss, and assess the trainees' performance in each of the skills and subskills.

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ORGANIZATIONAL OVERSIGHT

DOMAIN 5

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ORGANIZATIONAL OVERSIGHT

DEFINITION

Organizational Oversight: Planning and scheduling one's own and others' work so that resources are used appropriately, and short- and long-term priorities and goals are met; scheduling flows of activities; establishing procedures to regulate activities; monitoring projects to meet deadlines; empowering the process in appropriate places.

It has been said that poor managers focus on yesterday's problems, good managers focus on today's problems, and truly outstanding managers focus on tomorrow's problems. Focusing on tomorrow's problems requires planning, and planning, in turn, requires careful thought and analysis, imagination, and judgment.

Effective principals use planning as a tool to keep their schools on track. Planning enables them to make good use of limited resources, to work their way through obstacles, to recognize alternatives, and to take advantage of opportunities. Just as importantly, it helps them create positive and productive work environments. Planning, after all, is a shared activity. By drawing others into the planning process, principals establish and nurture caring and spirited teams of staff, students, and parents who work together to achieve school goals.

LITERATURE REVIEW

According to the literature, organizational oversight has several major components: the establishment of overall plans to accomplish goals; the scheduling and planning of resources and activities; the establishment of effective procedures to monitor and regulate activities; and the empowerment of the process at appropriate places. Each of these components is examined below.

PLANNING TO ACCOMPLISH GOALS

The effective manager focuses attention on the problems of today and tomorrow. To tackle these challenges, he or she engages in planning, which Bhasin (1989) states "is simply thinking ahead." It not only gives an individual a better idea of how much progress he or she is making on the job, "but also [gives] some control over making more or faster progress in the future" (p. 27).

According to Godiwalla (1983), planning is:

> . . . the continuous act of mapping out the more desirable alternative courses of future directions that the organization could take, based on correct information and insights. It is the desirable design for achieving future objectives and goals. It assumes and makes it possible to take a series of major steps that bring about favorable circumstances. (p. 189)

The NPBEA's definition of organizational oversight includes long- and short-term planning. Everard and Burrow (1990) state that "Strategic planning is long-term and provides broad goals and directions for the entire business." Operational planning, by contrast, "is short-term and identifies specific activities for each area of the business" (p. 464).

A good strategic plan, they maintain:

> . . . tells managers where the business is going. Managers must then take actions in different areas to move the business toward their goals. Operational planning determines how work will be done, who will do it, and what resources will be needed to get the work done in a specific area of the business. (p. 465)

Earlier management thought also emphasizes the importance of analysis to the strategic planning process. Fayol (1949), for example, defines planning as assessing the future and making provisions for it. This process, he states, has several steps. The organization first looks at situations in which it might become involved; it then prioritizes them according to organizational objectives, and finally decides on ways to consider preferred situations and avoid those that are least preferred.

Planning is needed to keep an organization on track for the future. As Blue (1990) points out, "Companies need to plan. Without a plan, organizations cannot have a strong relationship to the future. The future is visualized and attained through planning" (p. 109).

Planning also is central to growth and change. Massie and Douglas (1981) maintain that the "planning function has received increasing attention as organizations have grown in size" (p. 218) and been forced to adapt to change:

> First, technological changes have accelerated to such an extent that companies may become obsolete in their productive plant and equipment unless they seek newer and more efficient technologies. Second, changes in government control regulations and public policy will require many changes in the conditions under which managers will carry out their functions. Third, changing economic conditions challenge modern managers to be ready in the future for shifts in economic forces. Fourth, the social norms, attitudes, life-styles, and expectations of the people create new situations requiring different approaches from those of the past. The modern manager simply must consider these rapid changes. (pp. 218-219)

A survey of managers (Aldag & Stearns, 1991) in 350 American and European corporations suggests that planning failures result from one or more of the following:

- strategic plans that are not integrated into the total management system;
- planning that is done haphazardly or without systematic procedures for the formulation and implementation of plans;
- planning that does not encompass those who will be affected by it;
- plans that attempt to accomplish too much at once;
- management that assumes that a formulated plan is a substitute for an implemented plan;
- management that persists in forecasting trends rather than developing plans in response to trends;
- situations in which there is a lack of adequate information;
- situations in which too much emphasis is placed on one area of the plan; and
- the creation of planning departments that formulate plans without sharing that responsibility with managers.

Although planning is vital to an organization and its members, many managers avoid it. Instead, they allow day-to-day problems to "push planning into the back seat" (Duncan, 1983). Planning must be put on a front burner, however, and upper management must support such efforts.

This support must be present

throughout the planning process, in fact—from the development of strategies and methods for integrating and coordinating plans, to the communication of those strategies, methods and plans, to the involvement of staff. In addition, managers at all levels should receive information from staff about the success and failures of activities in other organizational units. Rewarding and updating plans also are important.

To facilitate planning, Bhasin (1989) suggests that managers answer the following questions:

- What do you want to accomplish over X number of months and in what areas of your responsibility? Do you want to complete a certain number of projects? Do you want to move into some new areas? Are there some things that you would like to get finished once and for all?

- How will you know when you've accomplished your goal? Will you have completed X number of tasks? Gotten X amount of project money from a new source? Will you have contacted and gotten to know an expert in a new field? There are many ways to determine when you have done what you have said you wanted to do.

- How will you get from where you are now to where you want to be at the end of the specified time period? Where, exactly, are you now? What resources will you need to move ahead, sideways, etc.? What roadblocks need to be removed? What skills and talents are required? Are they currently available on your staff?

Koontz and Weihrich (1990) suggest the following steps in organizational planning:

- be aware of opportunities as they relate to the market, the competition, what customers want, and your organization's strengths and weaknesses;
- set goals or objectives to determine where you want to be, what you want to accomplish, and when;
- consider plans based on premises about the internal and/or external environment in which your plans will operate;
- identify alternatives, especially those most promising to accomplishing your objectives;
- compare alternatives and consider those that will give you the best chance of meeting your goals at the lowest cost and highest profit;
- choose an alternative or course of action;
- formulate supporting plans (e.g., purchasing equipment, materials, hiring workers, etc.); and
- make budgets.

ALLOCATING RESOURCES

All plans require resources, be they human or financial. When dealing with financial resources, the type and amount required should be specified during the planning process; the potential source of the resources should be identified as well. Accordingly, Donnelley, Gibson, and Ivancevich (1987) suggest that the following questions be addressed:

- What resources should be included in the plan?
- What are the interrelationships among the various resources?
- What budgeting techniques should be used?
- Which person or organizational unit should be accountable for the preparation of the budget? (See also Domain 13, Resource Allocation.)

When dealing with human resources, the planning process should be participative. Megginson, Mesley, and Pietri (1989) state:

> Since people are more committed to what they themselves establish, try to get them to set objectives and performance levels. As a manager, you're not necessarily committed to what they feel are reasonable objectives, but the level they establish will frequently surprise you. (p. 136) (See also Domain 14, Motivating Others.)

According to Drucker (1967), one of the most consistent and important traits of successful executives is their ability to build on the strengths (rather than focus on the weaknesses) of themselves and their superiors, colleagues, and subordinates. These executives accept their own strengths and weaknesses, acknowledge the best in others without feeling threatened, and recognize their responsibility for helping others grow. In short, they feed opportunities and starve problems.

Unfortunately, many managers do not consider people as valuable resources to be as conciously tended as equipment, buildings, or funds. Good managers understand and value others; they know that programs that diminish people fail in the long run, even if immediate goals are met.

Another important resource for managers is time. Duncan (1983) has found that 26.6% of managers who do not plan consider planning as too time-consuming or too much work. Learning effective time management is essential, therefore, and Noon (1985) suggests the following:

- Establish a job planning system that is flexible and able to deal with contingencies;
- Develop a "broad brush" year plan to check on performance, resources, managing priorities, and delegated planning;

- Develop the monthly planning discipline;
- Schedule high-priority work first and tackle it first; schedule low- priority work second and tackle it second;
- Allocate minimal time to low-priority activities;
- Make certain high-priority work is not scheduled in the gaps left after low-priority work;
- Use secretaries and employees more effectively; delegate more work to them;
- Improve team management by spending more time developing teams to ensure better direction and harmony; and
- Improve filing systems and your desk organization; commit to a clear desk policy.

FORMULATING PROCEDURES AND REGULATIONS

Establishing procedures and regulations to monitor the planning process is imperative. Aldag and Stearns (1991) emphasize that managers must monitor implemented activities and "go beyond directing subordinates as to what has to be done. They must also check the implementation of those activities to make sure they are being done correctly and to help in solving problems that may occur" (p. 180). (See also Domain 6, Implementation.) Aldag and Stearns also note the importance of "standing plans," which are developed to "guide activities toward achievement of goals of a recurring nature. They help members and coordinate and direct their activities toward goal accomplishment" (p. 169).

Standing plans can be divided into three groups: policies, standard operating procedures, and rules and regulations. Policies provide managers with general guidelines for decision making. Standard operating procedures govern specific actions that organizational members are required to perform under certain circumstances. Rules and regulations are statements that either require or forbid a certain action.

Standing plans are mechanisms for guiding tasks and directing them toward desirable goals. They should be amended and changed to meet organizational requirements (e.g., managers sometimes must change procedures or rules because external conditions have rendered them obsolete).

According to Donnelly, Gibson, and Ivancevich (1987):

> When plans are intended to be rather permanent fixtures in an organization, management develops policies to implement them. Policies usually are written statements that reflect the basic objectives of the plan and provide guidelines for selecting actions to achieve the objectives. Once plans have been accepted by those who must carry them out, policies become important management tools for implementing them. (p. 109)

Policy statements should be comprehensive, flexible, ethical, and clearly written. As managers formulate them, they should consider the individuals and units whom policies will affect.

ASSURING EMPOWERMENT

Of all resources, people are the most important, and their involvement is essential if planning is to succeed. Koontz and Weihrich (1980) point out that the more thoroughly leaders utilize the cooperative planning process, the more coordinated the planning enterprise will be.

Participation is one of the best ways to empower people. Aldag and Stearns (1991) say that "Planning should not be exclusive. That is, planning should not be confined to any one subunit or level of management in the organization. Rather, it should encompass all those members, managers and workers alike, who will have an effect on the activities to be carried out through the plan" (p. 183).

Teamwork is one of the best ways of involving others. When group members work together and generate the right team spirit, the team is able to manage itself well.

Noon (1985) observes the following about team building:

> First, the team depends heavily upon the direction of the team leader. Objectives need to be defined, communicated and established so that the team knows what it will achieve. It is also critical that team members participate in the creation of this direction. Second, a team works well when it is involved in the day-to-day decision making. As long as direction is clear and achievable, the quality of the team's decision will be superior to any one individual (including the team leader). Third, the harmony of the team needs constant attention. Without harmony the team will develop its own continuous conflict and all the indisciplines of personality difficulties and lack of cooperation. (p. 63)

Effective communication also is necessary to empower others. Aldag and Stearns maintain that:

> Throughout the planning process, the intent of the strategy to be carried out and the methods for integrating and coordinating plans should be communicated to all participants. Communication enables managers and workers of the organization to maintain an accurate understanding of the direction they are to pursue. Managers should continually try to specify goals to be attained and encourage others to direct their activities toward those goals. (p. 183) (See Domain 16 and 17, Oral and Nonverbal Expression and Written Expression, respectively.)

Motivating others is another important means of empowerment; it is the ability of managers to inspire themselves and others to action. As Noon (1985) points out:

> Motivating the team under all conditions is a vital function. Motivation means ensuring that individuals and the team are maintaining momentum and moving towards the objectives. The ability to provide each team member with a specific motivation is very important, and these must combine for the team as a whole. The motivation can come in many forms: achievement; recognition; job interest; responsibility; advancement; money; status; conditions; and good working relationships. (pp. 55–56)

Motivating others can take many forms. (See Domain 14, Motivating Others). Some people motivate through fear and intimidation; others through respect and trust. Whatever the form, it is an important subject for managers, who must be able to motivate employees to achieve organizational objectives and personal goals (Hellriegel & Slocum, 1986).

Job satisfaction plays an important role in motivation. Hellriegel and Slocum examined the Hackman-Oldham job-enrichment model (which emphasizes certain job characteristics that can lead to three critical psychological states: experienced meaningfulness, experienced responsibility, and knowledge of results) and concluded that job enrichment enables employees to meet more of their higher level needs.

Finally, delegation can be a means to empowerment. Delegation is the process of distributing and entrusting work to others. This involves assigning a person a duty to perform and giving that person adequate authority and responsibility to do the work effectively. Hellriegel and Slocum observe that "Authority is delegated when a superior gives decision-making power to subordinates. The process of delegation involves determining results expected, assigning tasks and ensuring the authority and responsibility accomplish them, and accountability for accomplishment of the tasks" (Hellriegel & Slocum, 1986, p. 350).

According to Hellriegel and Slocum, delegation has several components: objectives and standards must be established, responsibility and authority must be defined, subordinates must be motivated, required work must be completed, training must be provided, and adequate controls must be established. The authors also note the trend that suggests that sharing power is one of the most effective ways for executives to control behavior in the work place. (See also Domain 7, Delegation.)

THE PROCESS MODEL

Figure 5-1 presents a process for the Organizational Oversight domain. Beginning at the top of the model, it proceeds in the following manner.

Organizational oversight, the process that serves it, and the outcomes that can be expected from it are affected by external and internal factors. *External factors* include the size and complexity of the organization, the resources that are available to it, and the societal pressures that operate on it. For example, the ways organizational oversight is accomplished will be much different in a small, poor, rural school than it will be in a large, rich, suburban school. It also will be different depending on whether the organization is a high school or an elementary school. How this domain is executed will be, to some degree, a function of *internal factors,* including the experience and ability of a particular school's principal and the school's culture.

Organizational oversight is built on the foundation of *strategic plans that are goal oriented*. These goals guide *how activities are planned and resources are allocated* to serve these goals. *Effective operational procedures are established to monitor and regulate* the process by which they are attained. These plans and procedures should be designed to *empower the process at an appropriate place. Achievement is evaluated with regard to how well procedures have been followed and goals have been achieved*. This evaluation feeds back on the process by returning attention to the organization's goals and renewing or modifying them and the procedures that serve them based on the accumulated evidence.

Specific behaviors can and should be utilized for each step of the process model. These behaviors are discussed at the end of the knowledge and skills section below.

KNOWLEDGE AND SKILLS

Effective organizational oversight is a function of specific skill development, an individual's personality, and the individual's desire to expand his or her capabilities in this domain. Some individuals appear to be well organized, natural planners; their personal traits often carry over into their professional lives. Other individuals appear to be absent-minded, inefficient, and careless in their personal habits, yet have learned through self-discipline to apply the skills necessary for providing excellent organizational oversight. Accordingly, organizational oversight may be made more effective through the conscious development of thinking skills, interpersonal skills, program evaluation skills, and management techniques.

The identification of knowledge and skills related to organizational oversight and its components (e.g., planning) often is limited to a listing of various management techniques. To do so, however, trivializes this important functional domain. Persons who have "natural" organizational skills exhibit key thinking skills and usually apply key interpersonal and evaluation skills. Administrators who simply master the mechanics of a management technique (e.g., time management) usually are disappointed with the limited impact of their new skill on effective organizational oversight. This perspective does not diminish the importance of management techniques, for even people with highly developed thinking, interpersonal, and evaluation skills can use various management techniques to personal and organizational advantage. In fact, the more competent principals are in interpersonal, thinking, and evaluation skills, the greater their return will be from specific management techniques. However, technique can never be a substitute for fundamental skills but should be built upon and integrated with them.

THINKING SKILLS

In his Structure of Intellect Model, Guilford (1967) identified five thinking operations: cognition, memory, divergence, convergence, and evaluation. The development of all five have significant roles to play in organizational oversight.

Cognition and memory skills (as they apply to organizational oversight) concern the principal's access to a broad base of knowledge about the organization and the context in which it operates. Although there is much more to organizational oversight than organizational knowledge, the evidence is clear that organizational oversight is founded upon such knowledge and will be ineffective without it.

Divergent thinking skills are those that are essential for effective organizational oversight. Planning—particularly on a strategic, or long-range, level—requires adaptable, original, and flexible thinking about present realities and future possibilities. Modern organizations unable to respond to their changing environment or to generate alternative solutions to their problems run the risk of failure. So, too, do schools. Effective principals, therefore, must "think ahead"; they must operate from a broad organizational database and understand how the components of that database can be interrelated to advance their institutions.

Convergent thinking involves choosing a single course of action for an organization to follow from several alternatives. Efficiently shaping data and potential strategies into a single coherent action plan is the hallmark of organizational oversight.

Evaluation skills are those that provide feedback on plans and actions. Organizational oversight requires pertinent and efficient or-

ORGANIZATIONAL OVERSIGHT: A PROCESS MODEL

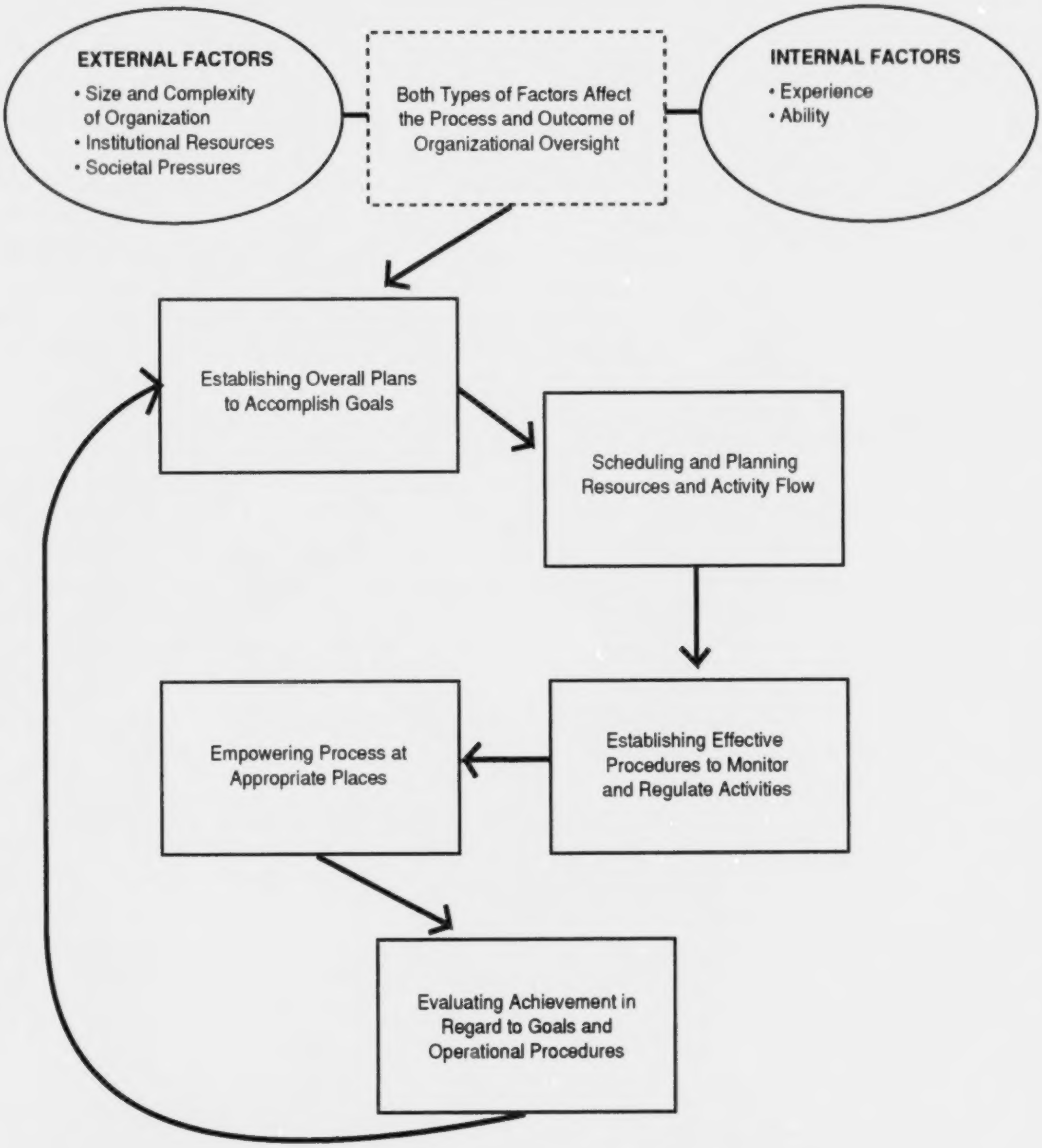

EXTERNAL FACTORS
• Size and Complexity of Organization
• Institutional Resources
• Societal Pressures
Both Types of Factors Affect the Process and Outcome of Organizational Oversight
INTERNAL FACTORS
• Experience
• Ability
Establishing Overall Plans to Accomplish Goals
Scheduling and Planning Resources and Activity Flow
Establishing Effective Procedures to Monitor and Regulate Activities
Empowering Process at Appropriate Places
Evaluating Achievement in Regard to Goals and Operational Procedures

Fig. 5-1

ganizational evaluation. Plans and operations must be viewed in terms of outcomes and their potential impact on the organization or there can be no organizational improvement.

INTERPERSONAL SKILLS

Effective organizational oversight depends on the coordinated interaction of organization members as they pursue the organization's mission. Interpersonal structures must be established to maximize the flow of valid information between the interdependent operating units and to enlist the active support of every organizational member. Current thought on organizational effectiveness focuses on team building and empowerment.

Team building focuses the attention and efforts of all organizational members on a shared vision and on strategies that can be employed to achieve it. Effective teams expand the organizational oversight capabilities of a principal by increasing his or her ability to monitor school operation and by providing focused feedback.

Empowerment gives all personnel (often as team members) a voice in determining the organization's direction. It calls on them to contribute to the organization and to monitor actively its processes and outcomes.

As corporations and schools undergo restructuring, the interpersonal skills that strengthen team building and empowerment have received renewed emphasis. Total Quality Management (TQM) in industry has been paralleled in many ways by the movement toward Site-Based Management (SBM) in public schools.

PROGRAM EVALUATION SKILLS

Program evaluation (as it relates to education) examines the events and activities that influence or are present within a program and that contribute to its success or failure. Although it incorporates student assessments and staff evaluations, it incorporates and goes beyond each to include achievement measures for every other aspect of a given program.

Organizational oversight implies program evaluation. Without it there can be no effective monitoring of the diverse events and activities that occur within a school; nor can there be effective monitoring of the contributions individuals and groups make to achieve school goals. (See also Domain 12, Measurement and Evaluation.)

A number of different models are available for conducting program evaluation. One of these is the CIPP model, which provides a framework for systematically monitoring the implementation and impact of both short-range and long-range planning. The model was proposed by Stufflebeam and his associates in *Educational Evaluation and Decision Mak-*

ing (Stufflebeam et al., 1971). The book focuses on the administrative decision-making process, and its title suggests why this particular model is especially appropriate for facilitating organizational oversight.

CIPP stands for **C**ontext evaluation, **I**nput evaluation, **P**rocess evaluation, and **P**roduct evaluation. Context evaluation refers to needs assessment and the establishment and modification of goals and priorities. Input evaluation refers to the identification, procurement, and arrangement of resources to meet goals and priorities. Process evaluation examines the initiation and implementation of a program. Product evaluation judges the attainment of goals and from this assessment and other sources provides data that modify, add to, and extend original goals. This step leads into the next planning cycle.

MANAGEMENT TECHNIQUES

Management techniques to assist principals with organizational oversight have emerged in recent years. Although these techniques are extremely helpful, they must be integrated into interpersonal and thinking skills rather than substituted for them.

Three of the more common techniques are time management, Program Evaluation and Review Technique (PERT), and the Gannt Chart. Time management is not a single technique but a host of related strategies designed to build habits that protect that valuable resource known as time. PERT and the Gannt Chart are specific techniques for organizing events in relation to their impact on time.

Time management techniques strive to reduce redundant efforts, eliminate unnecessary routine and paperwork, set operational priorities, focus attention, expand information processing and retrieval capabilities, and generally maximize available time. For principals, time is a scarce resource, and these techniques allow an efficiency of effort that enhances their oversight effectiveness.

PERT (see Fig. 5-2) is a management technique that breaks down an operation into its components and reorganizes them to show interrelationships among the activities that must be accomplished in order to meet operational goals. The PERT network that emerges from this process graphically illustrates the sequence in which major events and subevents must be accomplished, as well as the estimated time required for each, and the impact component delays would have on the operation.

The Gannt Chart is, essentially, a simplified version of PERT. (See Fig. 5-3.) It uses a single chart to display the timelines of project components. Principals who use the chart can see at a glance how various tasks are proceeding and what tasks remain before a project can be completed. Although this technique is easier to learn and use than PERT, it has its disadvantages. More specifically, it does not show the explicit interrelationship among components or the ways in which delays in one component affect the others.

Another technique useful in integrating strategic and operational planning is the decision matrix. The purpose of the matrix is to examine how the pursuit of separate organizational goals will support or conflict with the pursuit of other goals. Use of the decision matrix helps the principals avoid the common organizational practice of making sequential decisions, each aimed at it own limited objectives, that conflict with each other and result in organizational incongruities. An example of a decision matrix is provided in Fig. 5–4. Further information on the implementation of the decision matrix may be found in the monograph *School Leadership* (Erlandson, 1976).

At times, the principal will find himself or herself in a position when fundamental reform of the school organization is needed in order to accomplish its mission. McCleary, Peterson, and Lamb (1975) have recommended a procedure to administrators who "see the need to reorder organization in fundamental ways to a) meet new needs, b) revitalize existing programs, c) alter program priorities, d) obtain broader participation in order to extend program coverage and effectiveness. . . " (p. 3). They outline the steps for organizational analysis and reform as follows:

- function analysis;
- task analysis;
- comparison with present practice; and
- development of action plan for improvement
    - new job descriptions
    - specification of training requirements.

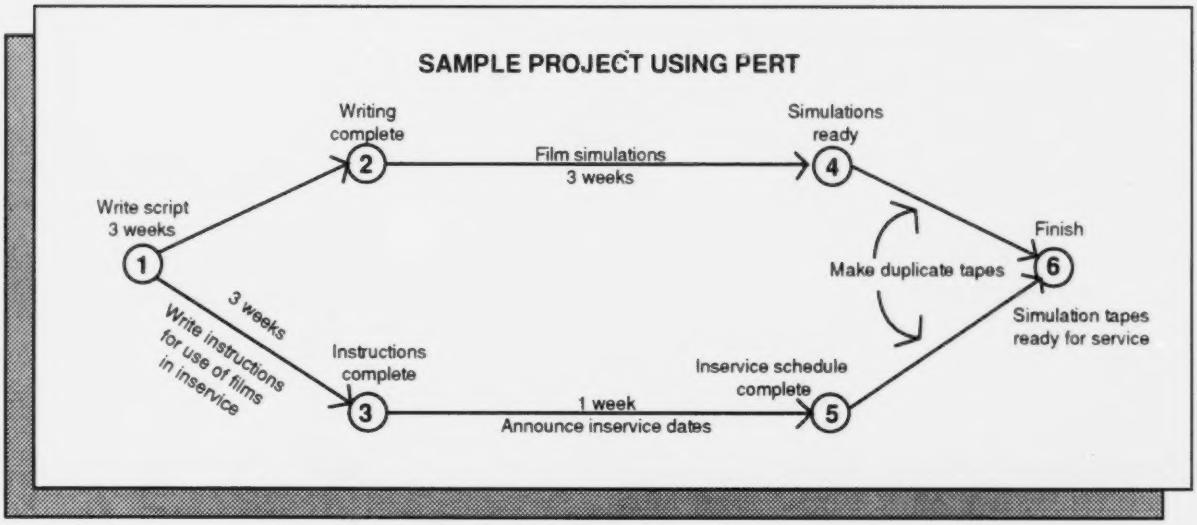

SAMPLE PROJECT USING PERT
Writing complete
Simulations ready
Film simulations
3 weeks
Write script
3 weeks
Finish
Make duplicate tapes
3 weeks
Write instructions for use of films in inservice
Simulation tapes ready for service
Instructions complete
Inservice schedule complete
1 week
Announce inservice dates
1
2
3
4
5
6

Fig. 5-2

Principals who sense the need for comprehensive organizational reform should consult the McLeary, Donovan, and Lamb reference.

EFFECTIVE BEHAVIORS

According to the process model illustrated in Fig. 5-1, organizational oversight has five stages: establishing overall plans to accomplish goals, scheduling and planning resources and activity flow, establishing effective procedures to monitor and regulate activities, empowering the process at appropriate places, and evaluating achievement in regard to goals and operational procedures. The effective behaviors associated with each are described below.

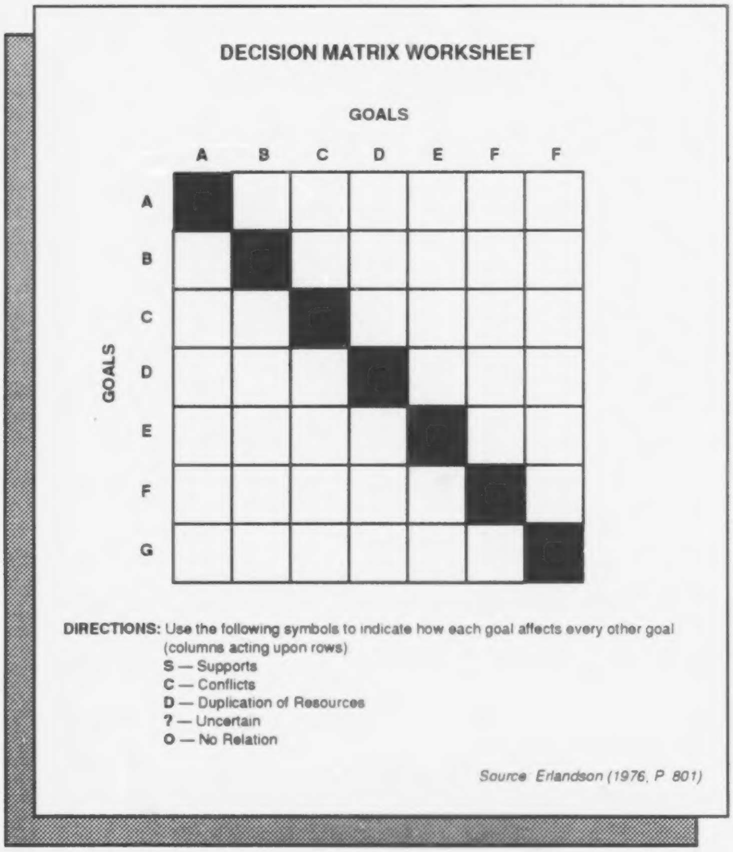
Sets Plans to Accomplish Goals: Key behaviors of effective principals include:

SAMPLE GANNT CHART

Activity and Person Responsible	Jan.	Feb.	March	April	May
Conducts needs assessment	1—28				
Identify and prioritize needs		1—15			
Select evaluation teams		2/16 ——	3/4		
Develop news releases	1/1 ——	——	——	——	5/29
Design program strategies			3/5—7		
Inservice for staff			3/7 ——	4/3	
Initiate program				4/3 ——	5/7
Monitor program impact				4/5 ——	5/15
Conduct final evaluation					5/15-18
Final report					5/19-25

Fig. 5-3

- demonstrating clarity of planning (explication of vision, goals, etc.);
- developing comprehensive needs assessment built upon insights and resources of all organizational stakeholders;
- maximizing information from all stakeholders in the development of a shared vision;
- translating vision into comprehensive planning that systematically examines alternatives;
- integrating long- and short-range planning; and
- monitoring plans.



DECISION MATRIX WORKSHEET

GOALS

GOALS	A	B	C	D	E	F	F
A	■						
B		■					
C			■				
D				■			
E					■		
F						■	
G							■

DIRECTIONS: Use the following symbols to indicate how each goal affects every other goal (columns acting upon rows)
S — Supports
C — Conflicts
D — Duplication of Resources
? — Uncertain
O — No Relation

Source: Erlandson (1976, P 801)

Fig. 5-4

Schedules and Plans Resources and Activity Flow: Key behaviors of effective principals include:

- clearly identifying existing resources;
- clearly identifying needed resources;
- making optimal arrangements for the interrelationship of resources; and
- providing adequate mechanisms for handling resources of personnel (standard operating procedures) money (budgets), and time (schedules and calendars); and
- developing PERT and Gannt charts, decision matrices, and other overall strategies for integrating resources.

Establishes Procedures to Regulate Activities: Key behaviors of effective principals include:

- establishing standing plans, policies, standard operating procedures, and rules and regulations;
- clarifying roles and responsibilities for the implementation of organizational plans; and
- establishing efficient procedures for monitoring and evaluating implementation of plans.

Empowers Process at Appropriate Places: Key behaviors of effective principals include:

- developing a shared vision with all organizational stakeholders;
- providing for participatory decision making;

- planning and encouraging team-building activities and teamwork in all organizational operations;
- empowering with responsibility all organizational stakeholders in their respective areas of the organization's operation;
- delegating significant authority to appropriate stakeholders; and
- establishing two-way communication patterns between all organizational stakeholders.

Evaluates Impact of Goals and Operational Procedures: Key behaviors of effective principals include:

- using *context evaluation* to determine the efficacy of needs assessment and goals identified by it;
- using *input evaluation* to determine whether resources have been efficiently and effectively used;
- using *process evaluation* to evaluate planning procedures and activities;
- using *product evaluation* to determine the impact of planning on the organization, including the degree to which organizational stakeholders have been empowered; and
- recognizing that evaluation is a holistic, ongoing process and that all stages of the planning process are interrelated and, though logically successive, occur simultaneously to some extent and affect one another.

PERFORMANCE STANDARDS

To be considered competent in the organizational oversight domain, the principals should be able to:

1) work with faculty, parents, students, and other school stakeholders to translate a shared vision into a strategic plan;

2) work with school stakeholders to establish operational plans that support strategic goals;

3) define roles and relationships for implementing and monitoring strategies and operational plans;

4) identify available and needed resources to implement long- and short-range plans;

5) implement global oversight strategies (such as a decision matrix) to determine how organizational goals are affected by other goals;

6) initiate appropriate management techniques (e.g., team building, PERT charts, budgets) to implement long- and short-range plans;

7) work collegially with teachers, parents, students, and community to reorder the organization in fundamental ways to

make it more responsive to its environment;

8) establish standing plans, policies, standard operating procedures, and rules and regulations that facilitate the implementation and monitoring of strategic and operational plans;

9) develop a pattern of participatory decision making, teamwork, and two-way communication that permeates every aspect and activity of the school organization;

10) build intrinsic rewards into the organization structure so that students, teachers, parents, and other stakeholders in the school operation are empowered by actions that appropriately support the goals of the school; and

11) lead school stakeholders in a holistic evaluation of strategic and operational goals, the resources that have been allocated to achieve those goals, the processes by which those goals have been pursued, and the impact that the pursuit of those goals has had on the organization and its stakeholders.

EDUCATION AND TRAINING

Figure 5-5 illustrates the sequence of activities suggested for developing and assessing the skills associated with this domain. This generic plan follows the trainee from the beginning of preparation, through assignment as a principal, and beyond to continued professional development. The plan may be altered to meet state certification requirements or the specific needs of preparation programs and individuals.

The first step in the plan involves two in-basket exercises: one that focuses on strategic long-range planning and one that focuses on short-range operational planning. These assessment devices usually are administered during the trainee's preparation program. After a performance review, the trainee is directed toward appropriate developmental activities. (See recommended workshops on pp. 23 and 24.)

It is assumed that the trainee's preparation program will include an internship or some type of field experience. Accordingly, the assessed skills for this domain can be monitored through regularly maintained logs, self-evaluation, and the evaluations of supervisors and/or others within the participating schools.

At the beginning of the principal's first year or during the preservice internship, the new administrator is interviewed on videotape. During the interview,

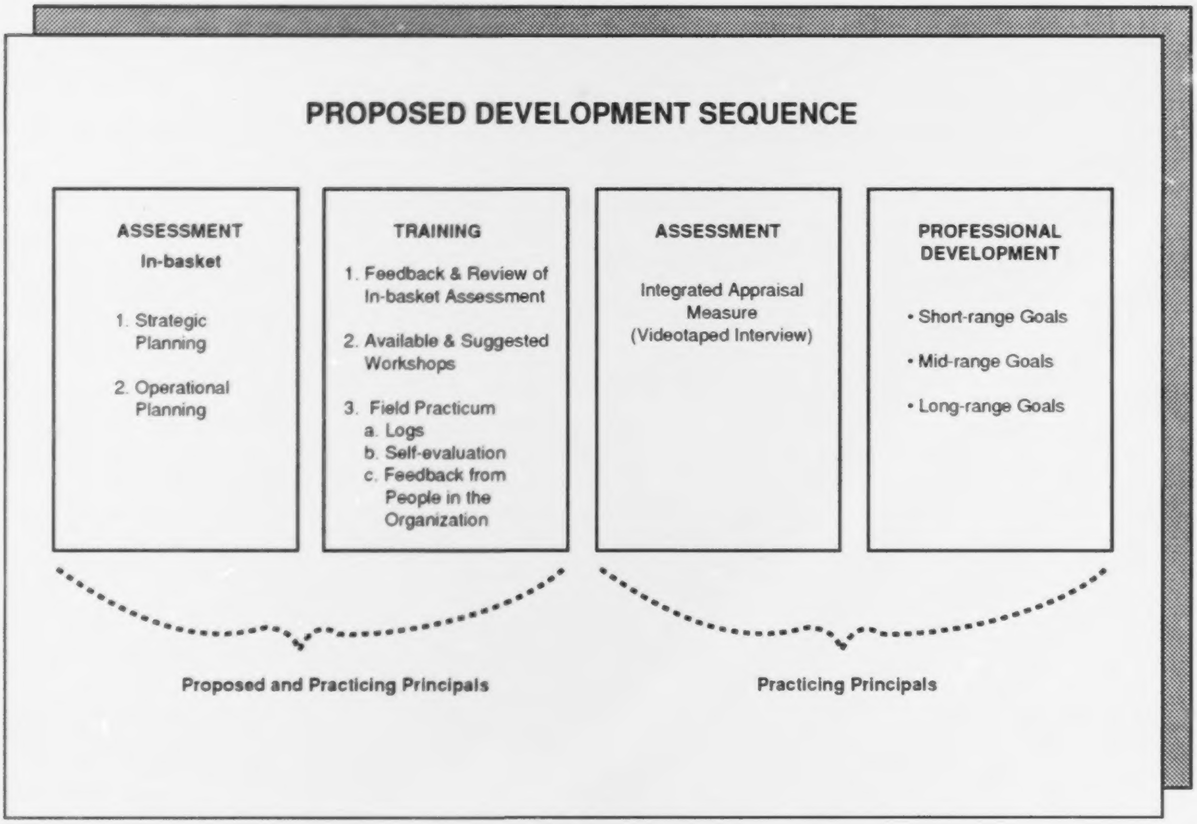

PROPOSED DEVELOPMENT SEQUENCE
ASSESSMENT
In-basket
1. Strategic Planning
2. Operational Planning
TRAINING
1. Feedback & Review of In-basket Assessment
2. Available & Suggested Workshops
3. Field Practicum
a. Logs
b. Self-evaluation
c. Feedback from People in the Organization
ASSESSMENT
Integrated Appraisal Measure (Videotaped Interview)
PROFESSIONAL DEVELOPMENT
• Short-range Goals
• Mid-range Goals
• Long-range Goals
Proposed and Practicing Principals
Practicing Principals

Fig. 5-5

the administrator describes his or her performance and skills as they relate to organizational oversight. These descriptions are obtained by focusing on low inference indicators of actual job performance. This interview provides a description of the principal's performance in executing organizational oversight, which becomes the basis for a valid assessment of skills.

After the interview, the videotape is assessed and becomes the foundation of an integrated appraisal measure that can be used as the basis for professional development throughout the trainee's career. (The advantages of an "integrated appraisal measure" are described by Brush and Schoenfeldt in a 1980 article in *Personnel* titled "Identifying Management Potential: An Alternative to Assessment Centers." Information about the interview protocol used in the assessments of three principals and the videotaped interviews from which assessments were made are available from the writing team leader for this Domain, David A. Erlandson.)

After the videotaped interview and assessment, a professional development plan is established to guide the growth of organizational oversight skills. This plan is organized on a multi-year basis and usually contains short-range, mid-range, and long-range goals. After a period of time that ordinarily includes coaching, the intern or principal is again videotaped and assessed.

ORGANIZATIONAL OVERSIGHT DEVELOPMENT PLAN

A professional development plan in organizational oversight for practicing principals should include five components:

1) indicators to be developed;

2) proposed activities to develop these indicators (relate each proposed activity to specific indicators);

3) evidence of development;

4) mode of evaluation; and

5) target date for completion.

Ordinarily, a coach is assigned to assist the trainee. At the end of the time period allotted for the professional development process, the trainee is videotaped and assessed again. (This process parallels the one used in the Management Profile strategy for assessment and development of leadership skills at Texas A&M University.)

As mentioned above, regularly maintained logs are used to assess the trainees' skills. According to Erlandson, Atkinson, and Allen (1991):

The purpose of the administrator's log is twofold: 1) to provide regular, specific data for the coach and administrator to use in their continuing diagloue, and 2) to provide the administrator with a tool for analyzing his/her actions and with a record of past performances and analyses from which new alternatives can be created. In sum, logs provide a vehicle for reflective practice.

There are two major stimuli for log entries: 1) the Professional Development Plan, and 2) the daily events and interactions of the administrator's professional performance. The form of the log is less important, but it should be sufficiently free to allow the Professional Development Plan to interact with the entire context of the administrator's operations. Such interaction enables the Professional Development Plan to remain as a live and potent force in the administrator's development. Linking the goals and strategies of the Professional Development Plan to all the administrator's actions, thoughts, and emotions integrates the purposes of that plan into the administrator's total performance.

Thus, whatever the form of the log, it should minimally reflect 1) the goals of the Professional Development Plan, 2) planned and emerging strategies for achieving those goals, 3) evidence of goal attainment, as well as evidence of failure, and 4) the administrator's thoughts and emotions, both positive and negative, as the Professional Development Plan is implemented. Ideally, entries should be made daily; at the very least, they should be made weekly. Discipline in keeping a log helps administrators identify spots in their schedules when they can make log entries. These entries need not be long. Once log-keeping becomes a habit, the length of entries usually grows as administrators experience the benefits that accrue from the process.

The log is the property of the administrator who keeps it, yet in order for it to make its full impact in the coaching process, the coach must have access to it also. How much of the log the administrator shares with the coach is a function of the relationship that has been established between them. Since a good log contains many insights into the administrator's thoughts, emotions, and disappointments, it makes that person vulnerable. Being able to translate this vulnerability into professional growth is a function of the supportiveness that is felt in the coaching relationship and the degree to which the administrator has been empowered in the relationship. In the ideal coaching relationship, the coach will have free access to the administrator's log. (pp. 59–60)

The coach reads the log regularly and makes full use of it. In a supportive relationship the trainee comes to rely on the coach's support and consciously or unconsciously makes log entries that will elicit it. The coach uses these opportunities to assess and understand better the trainee's performance and to reinforce or redirect the trainee's actions.

SUGGESTED WORKSHOPS AND OTHER RESOURCES FOR LONG-RANGE PLANNING

- *Facilitating and Planning Workshop:* Texas LEAD Center, 406 E. 11th St., Austin, TX, 78791-2617, (512) 477-9014 (10 hours).
- *Establishing a School's Mission and Goals:* This workshop could be developed with guest speakers from various school districts. Guests could share strategic planning and campus-based planning, including forms, formats, and district time lines with specific procedures (6–10 hours).
- *Sponsoring Organizational Change:* Implementation Planning from OD Resources, 2900 Chamblee-Tucker Rd., Bldg. 16, Atlanta, GA, 30341, (404) 455-7145 (6–12 hours).

- *Developing and Monitoring Procedures:* This workshop would include bureaucratic flow charts and responsibilities from various job descriptions. Monitoring procedures could also be a part of this workshop (3 hours).

- *Self-Evaluation of Administrator's Roles:* Several existing resources include a) The Principal's Center Management Profile, College of Education, Texas A&M University, College Station, TX, 77843-4226, (409) 845-2766 (18 hours), b) Change Agent Questionnaire, University Associates, 8517 Production Ave., San Diego, CA, 92121, (619) 578-5900, and c) The Situational Leader, University Associates.

- Information on the difference in goals, objectives, and activities using a school's instructional decision making, from the Texas LEAD Center (12 hours).

SUGGESTED WORKSHOPS FOR SHORT-TERM PLANNING

- *Getting Results With Time Management,* American Management Association, P.O. Box 1026, Saranac Lake, NY, 12983, (518) 891-5510.

- *Manage Your Time, Manage Your Work, Manage Yourself,* American Management Association (see address and phone number above).

- *Getting Things Done,* Careertrack, 3085 Center Green Drive, Boulder, CO, 80301-5408, (800) 334-1018.

- *Time Management,* Excellence in Training, 8364 Hickman Rd., Des Moines, IA, 50322, (515) 276-6569.

- *Effective Time Management,* J.O. Elder Associates, 9806 Parkfield Dr., Austin, TX, 78758, (512) 835-7611.

- *How To Get Things Done,* National Seminars Group, 6901 W. 63rd, P.O. Box 2949, Shawnee Mission, KS, 66201, (800) 258-7246.

MEASUREMENT PROCEDURES

As in the case of the other functional domains, the only suitable measures are those that gauge actual performance. Such measures are principally of two types: simulation activities and assessments of actual job performance. Both have been proposed for measurement of performance in the organizational oversight domain.

As shown in Fig. 5-5, two in-basket exercises—one on strategic (long-range) planning and one on operational (short-range) planning—are recommended for use at the beginning of the proposed development sequence, most typically during the preservice training of a principal. (Examples of these two types of in-basket exercises are available from the writing team leader for this domain, David A. Erlandson.) As also shown in Fig. 5-5 and described in the Education and Training section above, an integrated appraisal measure, initiated with a videotaped interview, is recommended for the practicing principal.

Both in-basket exercises and the integrated appraisal measure have characteristics that suggest their appropriate use at different times. The in-basket exercises, because they are simulation activities, provide a common context of operation for those who take them. For instance, in the in-basket exercise that is recommended for operational planning, a school context is constructed for Sample High School, a mythical institution. All responses are made in terms of that context. This has two advantages for use in a preservice program: a) it does not require experience on the part of the respondent, since it furnishes the contextual base for planning, and b) it enables comparison between individuals, since they are all operating out of a common contextual framework. However, although in-basket exercises have particular strengths for preservice assessment, they are still very usable for practicing principals (as demonstrated by the effectiveness of the NASSP Assessment Center), and those who would implement the recommendations for this domain may consider using in-basket exercises with practicing principals as well.

Somewhat in contrast, the integrated appraisal measure, which is recommended for practicing principals, is based on actual job performance rather than simulated activity. As noted earlier, its strengths as a tool for assessing and improving job performance have been described in some detail by Brush and Schoenfeldt (1980). The integrated appraisal measure starts with baseline data on an individual's job performance and uses this information, plus additional information that is gathered from all available sources, to assess and shape improved performance progressively. An integrated appraisal measure has been developed for principals at the Texas A&M Principal's Center. This integrated appraisal measure, the Management Profile, was initiated in 1986 and, since then, has been used with hundreds of principals and has been progressively refined. The integrated appraisal measure that is recommended for the domain of organizational oversight parallels the larger, more comprehensive Management Profile. Information regarding the Management Profile or the integrated appraisal measure that has been designed especially for this domain may be obtained from writing team leader David A. Erlandson.

As with the Management Profile, the integrated appraisal measure starts with a videotaped interview that lasts approximately

25 minutes. This interview is built around these lead questions:

1) How do you and your staff plan and organize the work of the school? What do you do to prepare for the entire year? What do you do to prepare for the subsequent year?

2) How does this planning and operation support the mission of your school?

3) How is this overall planning reflected in the day-to-day operation?

4) What sorts of things do you do to make this day-to-day operation of the school run more smoothly and efficiently? What do you do to keep yourself from being inundated with paperwork?

5) As you look into the future, 5 years from now, what types of things do you see occurring that will impact the operation of your school? What are you doing now to prepare for that impact?

These lead questions are designed to elicit responses that will describe performance in terms of the indicators of the organizational oversight domain. Often these lead questions are not adequate by themselves to elicit adequate descriptive data and must be followed up with questions that seek more specific information. Interviewers are encouraged not to turn loose a lead question until they have a clear picture in their minds of what the principal actually does on the job.

After the videotaped interview has been analyzed by the person who will serve as the principal's mentor or coach in the professional development process, that person and the principal sit down to review the analysis. The setting is not antagonistic but is characterized by a supportive atmosphere and a spirit of discovery. The principal, as a true professional, is not asked to accept the analysis without question, but is encouraged to supply additional information that will augment the original analysis. Together, the principal and coach plan for the principal's professional development and identify data that will be available from the principal's ongoing job performance and will augment the continuing assessment and analysis. As described in the Education and Training section above, this joint planning process typically culminates in a Professional Development Plan for the principal that covers several years. This timeline may be adjusted to meet individual needs, but it should be noted that if the development plan is targeted toward developing the principal's skills in strategic (long-range) planning, more time will probably be needed to collect adequate data on the principal's job performance.

During the implementation of the professional development plan, the principal and coach remain in regular contact through logs and face-to-face meetings. While the overall goals of the development plan remain intact, subordinate objectives and specific procedures are regularly modified as new performance data are collected. In this way, the integrated appraisal measure remains a live instrument, maintaining its validity through constant reference to the expanding job performance and enhancing its reliability through regularly integrating additional sources of assessment data.

A measurement scale for the videotaped interview that provides a baseline data for the integrated appraisal measure may be developed based on the key behaviors described in the Knowledge and Skills section above. Very simply, the recommended process is a five-point scale that examines and rates evidence for each of the five stages in the process model. The following meanings are given to the points on the rating scale: 5=clearly outstanding; 4=above average; 3=average; 2=below average; and 1=unsatisfactory.

The principal's performance on the videotaped interview is compared against an ideal of what might be done overall and in reference to the behaviors related to each of the five stages. Each stage is rated separately, and then an overall rating for the domain (not necessarily a mathematical average of the separate ratings of the five stages) is assigned. An overall score of "3" is considered minimally acceptable; however, any stage that is scored less than "3" should be given attention in the professional development plan that will be developed from the interview and other related data. It should be noted also that there is much to be gained professionally by outstanding performance in the organizational oversight domain, and the principal who has attained an acceptable score is encouraged to continue to strengthen further his or her performance through appropriate activities guided by a professional development plan.

A similar five-point scale may also be used to rate performance on in-basket exercises, although for in-basket exercises it is generally useful to identify behavior that can be expected at each phase of the exercise.

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IMPLEMENTATION

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IMPLEMENTATION

DEFINITION

Implementation: Making things happen; putting programs and change efforts into action; facilitating coordination and collaboration of tasks; establishing project checkpoints and monitoring progress; providing "midcourse" corrections when actual outcomes start to diverge from intended outcomes or when new conditions require adaptation; supporting those responsible for carrying out projects and plans.

Principals usually are encouraged to spend time on the front end of projects to ensure that issues are viewed broadly, that plans are well laid, and that those charged with implementation are involved in the planning process. The responsibilities of principals don't end there, however. Principals also must ensure that plans are implemented properly within a climate that allows for problem-solving and learning. Plans, after all, are not static; they must be shaped and reshaped as often as is necessary. This reshaping process requires that principals be skilled at scheduling, monitoring, coordination, and reassessment. In addition, they must be able to anticipate problems, make midcourse corrections, and give support to other implementers. Only when these skills are put to use can schools achieve desired outcomes and fulfill their mission.

LITERATURE REVIEW

Implementation generally has not been studied as a process in and of itself. Rather, it has emerged as an important element in more general studies of effective principals, in research on managerial behavior, in studies of implementing innovations and managing change, and in concepts of organizational learning.

Several of the competencies identified by Croghan, Lake, and Schroder (1983) as characteristic of effective principals are critical for implementation: active orientation (initiating action and readily taking responsibility for task accomplishment), management control (creating opportunities to receive feedback about the progress of subordinates' work), organizational ability (scheduling activities and focusing on time, deadlines, activity flow, and resources), and managing interaction (getting others to work together, understand one another, and resolve conflict). Leithwood and Montgomery (1986) also found that highly effective principals require departments or divisions in their schools to develop procedures for facilitating implementation of their programs; they provide necessary resources for implementation and systematically review program monitoring data.

More general sources of information on implementation include studies that have resulted in taxonomies of managerial behavior (Luthans, Hodgetts, & Rosenkrantz, 1988; Yukl, 1989). From these studies, it appears that monitoring, coordinating, and clarifying are the categories of managerial behavior most important to the implementation process.

Although the literature on innovation and change (Connor & Lake, 1988; Hall & Hord, 1987; Kilmann, 1989) tends to place more emphasis on plans and preparation for change, issues that can occur during the implementation phase (e.g., resistance to change or lack of short-term improvement) are addressed. Again, the importance of monitoring is emphasized in this literature. Flexibility to modify plans when necessary, securing cooperation among implementers, and evaluating implementation efforts in order to learn from mistakes and successes also are emphasized.

Finally, research on organizational learning (Argyris & Schon, 1978) notes the importance of continual reassessment and modification of plans and underlying assumptions during the implementation process. It is during this process that the intended and unintended outcomes of particular actions can be observed, thus providing the opportunity for learning what works and what doesn't. From this reassessment process, more productive ways of solving problems emerge.

THE PROCESS MODEL

The process model found in Fig. 6-1 highlights the facets of implementation, which are described below.

SET PLANS INTO MOTION

Implementation begins when plans are set into motion. Generally, principals are in key positions to "get the ball rolling." They ensure that project responsibilities are assigned (see Domain 7, Delegation) and that events are scheduled and initial steps taken in accordance with project plans. They work with others to establish timelines and progress checkpoints and to communicate realistic expectations about the implementation process and its outcomes so that disappointment and frustration are avoided. In addition, they begin to anticipate the problems and/or types of resistance they are likely to encounter during the process.

COORDINATE ACTIVITIES

Because of their position, principals are able to see "the big picture"; that is, they are able to perceive the interrelatedness among various implementation activities and the various individuals responsible for carrying them through. In this sense, the principal's role is to facilitate coordination and collaboration among implementers and change efforts.

Principals perform this role formally (e.g., by scheduling meetings to share information and progress reports and by publicly expressing the need for collaboration) and informally (e.g., by passing along information among implementers).

MONITOR PROGRESS

Since plans never unfold exactly as designed, principals must closely monitor how plans are progressing. They then provide this information to organizational members. (See Domain 5, Organizational Oversight.) Monitoring enables principals to assess whether the implementation process is on schedule and whether it is running smoothly and staying within resource estimates.

REASSESSMENT AND MODIFICATION

Information gained from monitoring is used by principals and their staffs to evaluate whether their actions are having the desired impact. If not, adjustments must be made and new action steps taken. To determine why desired outcomes are not being achieved, principals and their staffs may have to reexamine the assumptions and beliefs underlying their action plan. Argyris and Schon (1978) refer to this as single-loop learning (i.e., modifying actions when errors are detected). Findings may require principals to revise their plan according to new assumptions, which Argyris and Schon refer to as double-loop learning (i.e., reacting to errors by changing underlying assumptions or principles governing the action plan).

Accordingly, principals must be prepared to learn and make adjustments as they pass through the various stages of the implementation process. At the same time, they must learn to balance the need for midcourse changes with the need for patience in order to assess the impact various actions will have at some later date. This is especially important because often, when major changes are undertaken, situations may get worse before they get better.

SUPPORT AND ENCOURAGEMENT

Principals can increase the likelihood of desired changes by creating conditions that enable implementers to carry out their responsibilities and by rewarding progress toward goals. (See Domain 14, Motivating Others.) Principals, after all, do not implement plans alone; many others are involved in taking actions, modifying their behaviors, and revising ways to approach their work in order to implement programs or create school change.

Successful implementation requires a group effort and should reflect a collective support system.

Connor and Lake (1988) present four strategies for effecting change, each of which meshes with the process model and can be applied at different points in the implementation process. They are:

1) *Facilitative (involving others and sharing responsibility):* Principals can be facilitative by delegating responsibilities (Set Plans in Motion) and by involving others in the monitoring and reassessment of progress (Monitor Progress and Reassess).

2) *Informational (educating others about the change):* Principals can use informational strategies by communicating what process and outcomes to expect (Set Plans in Motion) and by providing progress information to staff (Monitor Progress).

3) *Attitudinal (changing attitudes in order to change behaviors):* Principals can use attitudinal strategies by communicating the importance of the project (Set Plans in Motion) and by helping to reexamine the assumptions and beliefs underlying action plans (Reassessment).

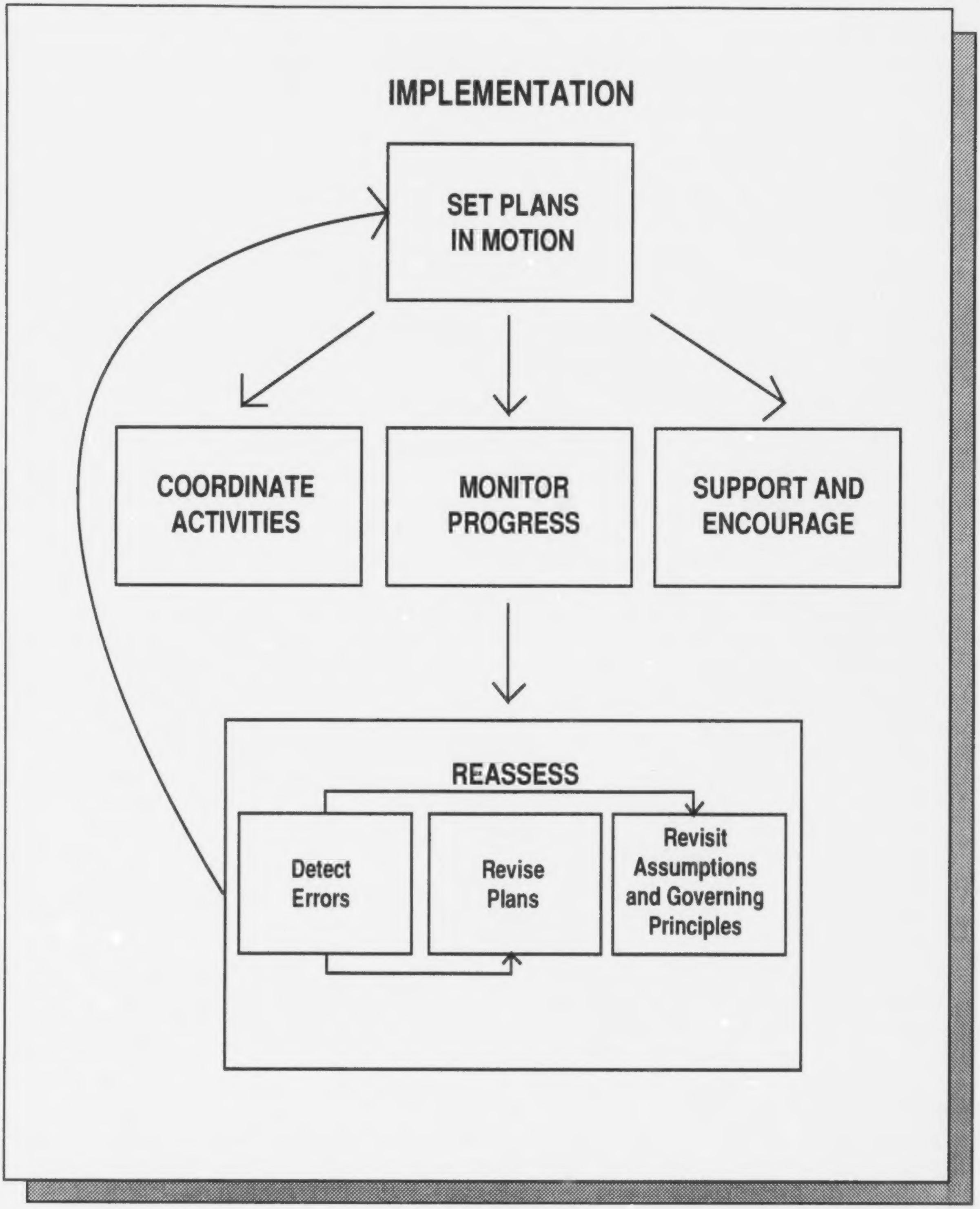
IMPLEMENTATION
SET PLANS IN MOTION
COORDINATE ACTIVITIES
MONITOR PROGRESS
SUPPORT AND ENCOURAGE
REASSESS
Detect Errors
Revise Plans
Revisit Assumptions and Governing Principles

Fig. 6-1

4) *Political (giving and withholding scarce resources):* Principals can use political strategies by providing access to resources that make implementation possible (Support and Encouragement) and by using resources to reward those who help achieve successful outcomes (Support and Encouragement).

KNOWLEDGE AND SKILLS

To be effective at implementation, principals must have knowledge and skills in the key areas delineated in the process model and must work collegially with teachers and other professional staff to achieve results.

SET PLANS IN MOTION

Clarifying Roles and Expectations: Effective principals ensure that the individuals involved with implementation support the goals and understand their roles for the plan being undertaken. In one-on-one and group meetings, principals communicate positive and supportive messages about the changes being implemented. In addition, they meet with key players to reach a mutual understanding of assigned responsibilities and to explain to others the reasons why they are being asked to do certain things and how their activities relate to larger school goals. Finally, effective principals provide realistic expectations of "what should happen and when" and the consequences of the action plans.

Scheduling Events and Activities: Effective principals take responsibility for ensuring that events are scheduled and action steps taken in accordance with implementation plans. They establish timelines and progress checkpoints and look for task interdependencies, which they consider when scheduling work flow. Effective principals also obtain the resources necessary for implementing plans (e.g., materials, equipment, support services).

Anticipating Problems: Effective principals review action plans to identify potential problems and the negative consequences that may occur as a result of them. They develop strategies for overcoming obstacles and for working with individuals who may resist plans for change. In addition, they elicit the feedback from others (e.g., subordinates, central office staff, other principals who have tried to implement similar plans) to get a better understanding of potential problems.

COORDINATE ACTIVITIES

Ensuring Coordination and Collaboration: Effective principals ensure that those involved in implementation work as a team.

They communicate the importance of coordination and collaboration by holding meetings in which implementers share information, discuss their progress, and offer each other suggestions and advice. Effective principals periodically talk to those involved in implementation to find out what coordination problems, if any, they are experiencing and to help resolve them. In addition, they appoint individuals as special liaisons and make them responsible for coordinating and communicating with the various individuals or subgroups involved in implementation.

MONITOR PROGRESS

Monitoring: Effective principals systematically gather information on a project's progress: what has been accomplished; what obstacles must be overcome; whether action steps are on schedule; whether resources are being used more, or less, quickly than anticipated, etc. To accomplish this function, various monitoring methods are used. They observe ongoing work, read updates from key implementers, hold regular group meetings with implementers, and follow up with individuals who have been delegated specific activities. In addition, they monitor plans to ensure that they are being implemented consistently throughout the school. Effective principals report their findings to school staff and work with them to develop ways to monitor staff progress.

REASSESSMENT AND MODIFICATION

Evaluating Outcomes: Effective principals evaluate whether the intended results of change efforts are being achieved. They are familiar with various methods for collecting evaluation data and the circumstances under which they are most appropriately used. These methods include interviews with implementers, reactions from those affected by the plan (teachers, students, parents, etc.), satisfaction and attitude surveys, observations of behavioral changes, and measures of student learning outcomes. Effective principals realize that some measures may not reveal intended outcomes for months or years.

Engaging in Single-Loop and Double-Loop Learning: Effective principals use monitoring and evaluation information to make decisions about the plans or action steps they should continue and/or revise. Working with other implementers, they examine situations that have not gone according to plan and develop new or modified strategies and action steps to correct errors (single-loop learning). Together, they explore their underlying assumptions, problem definitions, and the principles governing the action plan to determine if modifications are necessary (double-loop learning). Modifications are required if the definition, assumptions, and principles are in error or if they are no longer valid because of subsequent changes in the environment.

To engage effectively in double-loop learning, principals must adopt a learning system that produces as much valid information as possible. (See Domain 2, Information Collection, and Domain 12, Measurement and Evaluation.) This allows their organizations to make well informed decisions. It also facilitates the process by which threatening issues can surface, mistakes and failures can be examined, and assumptions can be tested publicly.

SUPPORT AND ENCOURAGEMENT

Enabling Implementers: Effective principals ensure that implementers have the information, resources, training, and authority they need to fulfill their responsibilities. The principals make themselves available to implementers for coaching, advice, and problem solving and consider implementers' special requests. In addition, effective principals realize that change can cause others to feel anxiety and stress. Accordingly, they respect the feelings of others and help them to understand the reasons for their anxiety. To reduce ambiguity and emphasize anticipated positive outcomes, effective principals keep others well informed. They are persistent, even in the face of short-term difficulties.

Rewarding Progress: Effective principals publicly recognize the progress being made in action plans and express their appreciation to those who have contributed to it. They celebrate project milestones and devise ways to reward individuals whose performance and behaviors have helped the school reach its goals.

BEHAVIORS

Below are sample effective and ineffective behaviors in each cluster of the implementation process. These are presented as examples, not as an exhaustive list.

Set Plans in Motion: Effective behaviors of principals include:

- involving participants in planning implementation activities;
- explaining implementation plans and listening to the concerns of others when introducing a new school program;
- ensuring that some actions are set in motion as quickly as possible to build on momentum; and
- asking a colleague or key implementer to play "devil's advocate" in order to identify possible negative consequences of an action plan.

Ineffective behaviors of principals include:

- failing to involve others in setting implementation goals;
- not communicating clearly who is responsible for various aspects of a project; and
- ignoring subordinates who resist change efforts.

Coordinate Activities: Effective behaviors of principals include:

- encouraging staff with interrelated responsibilities to share information about their progress;
- reminding team members that they are dependent upon each other and must work cooperatively toward their goals; and
- making time for implementers to have group meetings.

Ineffective behaviors of principals include:

- discussing progress with staff only on a one-to-one basis and never in group meetings; and
- failing to pass on information from staff members that could affect the work of others.

Monitor Progress: Effective behaviors of principals include:

- asking subordinates for progress reports;
- monitoring instructional program changes by observing classrooms and reviewing student performance; and
- requiring departments or divisions to develop monitoring procedures for their programs.

Ineffective behaviors for principals include:

- rarely leaving the office to see firsthand how plans are progressing; and
- not sharing information with teachers about parents' satisfaction with new instructional programs.

Reassessment and Modification: Effective behaviors of principals include:

- asking "what can be learned?" when things do not go as expected;
- modifying plans in response to changing conditions rather than doggedly pursuing one course of action; and
- seeking help from evaluation experts in designing assessment methodologies for major projects.

Ineffective behaviors of principals include:

- being slow to identify problems that need to be addressed; and
- evaluating a project too early because of impatience.

Support and Encouragement: Effective behaviors of principals include:

- anticipating implementers' needs for assistance;
- helping implementers overcome roadblocks/barriers; and

- planning special events to celebrate the successful completion of projects.

Ineffective behaviors of principals include:

- not recognizing signs of overwork in others; and
- assigning responsibilities to others without providing them with the necessary authority for implementing them.

PERFORMANCE STANDARDS

To be competent in the implementation domain, principals should:

1) clarify the roles various staff members will play in the implementation process, what they should expect during the process, and what consequences may occur as a result of the actions planned;

2) schedule events and activities that move plans forward;

3) anticipate problems;

4) coordinate activities and encourage collaboration among implementers;

5) monitor project progress;

6) evaluate project outcomes;

7) engage in single-loop and double-loop learning;

8) be supportive of others during a change process; and

9) reward progress made toward goals.

EDUCATION AND TRAINING

To improve implementation skills, training programs should focus on how trainees can improve their ability to set plans in motion, coordinate activities, monitor progress, reassess and modify action plans, and support implementers. The program should start with a simulation in which trainees implement a complex plan. The objective of this exercise is to allow trainees to experience the dilemmas and frustrations encountered during the implementation process and to provide a shared experience that trainees can discuss throughout the program.

SETTING PLANS IN MOTION

Several training strategies are available to help improve the ability of trainees to clarify roles and expectations, schedule events, and anticipate implementation problems. Trainees can participate in role-playing exercises that give them practice in:

- clarifying a subordinate's role in implementing a program;

- communicating expectations to a team of implementers; and
- persuading a resistant staff member. (See Fig. 6-2.)

Trainees can analyze and discuss hypothetical plans by looking for potential problems and suggesting ways to overcome them; or, they can be introduced to project management computer software for developing schedules and timeliness.

COORDINATION AND MONITORING

The content for presentations on coordination and monitoring can be drawn from studies of effective management practices (Luthans et al., 1988; Yukl, 1989). These presentations can be supplemented with feedback from coworkers on coworkers' perceptions of the trainees' skill level in these areas.

Although there are no known feedback instruments that focus on coordination and monitoring, particular scales of more comprehensive instruments certainly address them (e.g., Yukl's *COMPASS: The Managerial Practices Survey* or Personnel Decision's *Management Skills Profile)*.

To practice coordination and monitoring skills, trainees can engage in role-playing. They can serve as leaders at an implementation team meeting in which updates are presented and discussed.

This session can be videotaped and critiqued. Trainees also can work collaboratively with their classmates to design monitoring strategies for an ongoing project in their schools.

ROLE-PLAYING EXERCISE

You are a fourth-year principal at Eastern Elementary School. This year, developmental kindergarten classrooms for high-risk students were piloted in several other schools in your district. They have met with great success, and now the district is expanding the program so that each elementary school will have at least one developmental kindergarten class next fall.

You have met with your three kindergarten teachers and have jointly decided that Ann Williams, the teacher with the most experience of the three, will take the developmental class.

You sense some misgivings from Ann about accepting the role. The school year is coming to a close, and you have scheduled a meeting with her to talk about implementation of the program in the fall. In that meeting you need to clarify your expectations for the program, communicate to Ann what training and preparation she will undergo before school starts in the fall, bring to the surface and try to resolve any resistance she may be having, and set up a procedure for you to stay in touch with her and serve as a problem-solving resource for the program.

FIG. 6-2

REASSESSMENT AND MODIFICATION

A significant amount of time should be spent on single-loop and double-loop learning (Argyris & Schon, 1978) to emphasize the importance of learning and readjustment in the implementation process. Trainees should engage in exercises to examine their own defensive reasoning routines and those that are likely to be prevalent in their schools (Argyris, 1990). They also can be introduced to tools that can help engage their staffs in double-loop learning. Trainees can practice using these tools in group settings and have others provide feedback on their performance.

SUPPORTING AND ENCOURAGING

To understand better how to be supportive of others, trainees can interview implementers of current or recent projects to determine their needs and the ways in which principals can provide assistance. Trainees also can examine strategies used in effective schools to reward progress.

Training can conclude with a case analysis during which trainees identify what went wrong with its implementation. As an alternative, trainees can be asked to develop strategies for improving implementation of a real project being undertaken in their schools.

For an extended learning experience, trainees can be grouped into action learning teams (Marsick, 1990) that plan and implement a real and meaningful project over a 6 month to 1 year time period. This exercise might work best when all trainees are grouped according to the same district or region of a state.

MEASUREMENT PROCEDURES

Implementation skills cannot be observed easily in short periods of time. One assessment strategy would be to ask coworkers to rate the degree to which trainees demonstrate effective implementation behaviors over time. A portfolio on the implementation phase of each of several projects trainees are in charge of also could be assessed. Such portfolios would include memos, minutes of meetings, interviews with key implementers, and project results.

To overcome the time issue, trainees could be asked to share their general approach to implementation. This could be accomplished through an in-basket exercise that would require them to analyze the progress of a project, or projects, and determine appropriate next steps. As an alternative, trainees could be asked to analyze a case study and to provide an implementation strategy for it.

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DELEGATION

DOMAIN 7

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DELEGATION

DEFINITION

Delegation: Assigning projects, tasks, and responsibilities together with clear authority to accomplish them in a timely and acceptable manner; utilizing subordinates effectively; following up on delegated activities.

Organizations are created because one person acting alone cannot accomplish all that needs to be done. As they increase in size and scope, the tasks organizations perform become more numerous, complex, and critical to the well being of all involved. Thus, individuals and groups must work together to accept responsibility for performing tasks, solving problems, and achieving desired outcomes. Delegation is the process by which this occurs.

Yukl (1990) defines delegation as the assignment of new and different tasks or responsibilities to subordinates. Assigning responsibilities is one of the primary duties of a manager, chief executive officer, leader, or administrator. Within their schools, principals delegate tasks to teachers, staff, assistant administrators, students, and others involved with site operation. Often, these tasks require that additional authority be assigned. For example, a teacher assigned to supervise the lunchroom must be given the authority to decide—without first having to consult the principal—what constitutes poor student behavior. Likewise, the assistant principal assigned to observe in-class teacher performance must be given the authority to make decisions about the teacher's abilities and to talk to him or her about his or her performance. Delegation to a task force or committee may involve a wide latitude for action.

Delegation also has been defined as empowerment. Tracy (1990) suggests that leaders empower themselves and enhance their leadership and opportunities for success by helping others in the workplace achieve a sense of authority and success. As the trend toward site-based management continues in schools, principals, too, are beginning to realize that staff, parents, and students need to be involved in decision making and problem solving (Lubenburg & Ornstein, 1991). By sharing tasks and projects, principals empower others to experience the satisfaction of influencing school operation. These shared experiences lead to trust, loyalty, enthusiasm, and high morale.

Delegation is one of the most basic management processes (Whetten & Cameron, 1984). Its importance was noted 50 years ago by Urwick (1943), who indicated that delegation is essential if organizations are to function effectively. Delegation permits leaders and managers to extend their work beyond the limits of their personal time, energy, and knowledge. Used improperly, however, it can cause organizational problems and produce managerial failure.

Although delegation is often talked about, it is not necessarily well understood or facilitated. This domain, therefore, is designed to help principals improve their delegation skills. When appropriately handled, these skills enable principals to motivate teachers and staff, make them an integral part of school programs and decisions, and recognize and appreciate the unique talents personnel members have to offer. As a result, principals are able to work more effectively and efficiently.

LITERATURE REVIEW

Although principals work an average of 50-plus hours a week, the demands placed on their time and performance continue to grow. Not only are they are expected to maintain multimillion-dollar school plants, hire and supervise professional educators, and operate school programs, but they also must maintain academic schedules for hundreds—sometimes thousands—of students, be experts at maintaining good public relations with parents and community members, and keep all constituencies motivated, task oriented, and happy. The only way principals can meet these responsibilities and get satisfaction from their work is to involve others in the tasks central to school operation.

Dyer (1983) suggests two main reasons for why managers delegate responsibilities: a) they lack the time, skills, or resources to accomplish a task, and b) they want to give a subordinate greater responsibility and activity in a specific area so that the subordinate may learn and grow. In addition, delegation elicits from others a greater commitment to be a part of the decision-making process.

TYPES OF DELEGATED TASKS

Responsibilities exist in every school. Some do not need to be delegated because they fall within an individual's job description. An English teacher, for example, knows that he or she is responsible for preparing, instructing, supervising, and evaluating a certain number of students each day in the subject of English.

Some tasks are beyond the central classroom responsibility of teachers and relate to the functioning of the school (e.g., when teachers are assigned to lunchroom supervision, the mentoring of new teachers, or after-school events). More complex tasks include assigning groups of teachers to plan grade-level curriculums, prepare departmental budgets, or serve on district-wide committees that review policy decisions, survey curriculum materials on controversial issues, select scholarship recipients, etc.

Some assignments are task-specific and can be completed quickly without long-term applications. In such cases, the principal simply and clearly explains the assignment; little follow-up is required. Long-term projects, however, require more skills and time of the delegatee and more support and involvement on the part of the principal. The principal, for example, may need to outline and clarify responsibilities and expectations, indicate what reports must be produced and when, and—if necessary—what time, monies, and assistance will be available to complete the project. In all instances, the principal must ensure that adequate preparation and direction have been provided to the individual or group, and that the principal does not try to "over-control" the assigned task, causing a decrease in the subordinate's personal initiative.

THE ADMINISTRATOR AS DELEGATOR

A group of Harvard University professors conducted a series of studies on personnel relations at Western Electric Company's Hawthorne, Illinois, plant between 1927 and 1933. After observing how workers behaved if their working conditions were changed, the researchers found that team effectiveness was enhanced by group identity and the feeling of support from the group leader.

More specifically, the Hawthorne study (Mayo, 1933) indicated that leaders can be effective in building highly productive and motivated work teams. Successful managers were characterized as those who:

- had a personal interest in each person's achievement;
- took pride in the record of all groups;

- helped the group work together to set its own work conditions; and
- informed the group of its performance by posting the results.

Although delegation can be a major force for staff motivation and professional growth, some managers do not use this powerful tool successfully (Dyer, 1987). McCall and Lombardo (1983) found that executives who are poor delegators also are aloof, arrogant, and insensitive to others. They also betray trust and do not meet commitments. Another problem some executives have is that they overmanage despite their good intentions. When managers constantly check up on tasks and try to take charge of them, subordinates do not feel positive about their assigned responsibilities.

In addition, some managers fail to delegate as often as they should. Some mistakenly believe that to delegate is to give away power and authority. Others are perfectionists who cannot trust that others will do a job the way they want it done. Still others avoid delegation in order to reduce the risk of mistakes. Their behavior often is interpreted as a lack of confidence in their subordinates, however, and may cause staff to become apathetic and resentful.

Effective principals provide opportunities for others to share in the ownership of school progress (Sergiovanni, Burlingame, Coombs, & Thurston, 1992). The benefits of organizational participation are valuable (Davis, 1981) and include higher worker output, better work quality, greater cooperation, improved motivation, greater feelings of acceptance, self-esteem, and job satisfaction, and greater commitment to school goals.

SHARING RESPONSIBILITY FOR TASK COMPLETION

All school administrators can learn to be effective delegators. Successful delegation requires a careful planning of schedules and differentiation between the tasks for which they must assume responsibility and those that could be better handled by others. Sharing responsibilities can be perceived as a continuum with tasks conveniently hung on pegs for attention and completion. (See Fig. 7-1.) On one end of the continuum are the tasks that the principal must assume and complete with little help from others. On the other end are the tasks that can be delegated and that require little follow-up or involvement. In between the two are tasks that require delegation but varying amounts of support from the principal.

Schriesheim and Neider (1988) distinguished among delegation subtypes. These subtypes are determined by whether or not they involve decision-making input in the form of advice or information. Using a continuum model, the authors place the extreme autocratic manager on one end and the extreme delegator on the other. As might be imagined, the autocratic leader makes decisions without input from others. The extreme delegator lets subordinates make decisions without offering any input. The five subtypes within the two extremes reflect varying sharing levels of responsibility between an administrator and his or her subordinates. At the continuum midpoint is the participative leader, who shares problems with subordinates and with whom he or she arrives at mutually acceptable solutions.

Vroom and Yetton (1973) offer yet another continuum, this one ranging from unilateral to shared leadership. At the unilateral end, the administrator uses existing information to make decisions alone. At the shared end, the leader works cooperatively with others; the problem-solving strategies and solutions that are generated attempt consensus among participants

Bridges (1967) proposed some years ago a "zone of acceptance" model for shared decision making. In it, the principal considers two questions before involving others in a task-completion process. The first is, "Will subordinates assigned the task have a high personal stake in the decision that is made?" The second is "Will teachers involved in the task be capable of making meaningful contributions?"

As expected, asking others to assume responsibility for tasks in which they will have little interest or personal motivation usually produces resentment because subordinates do not want to waste their time. Likewise, individuals assigned tasks for which they do not have expertise or to which

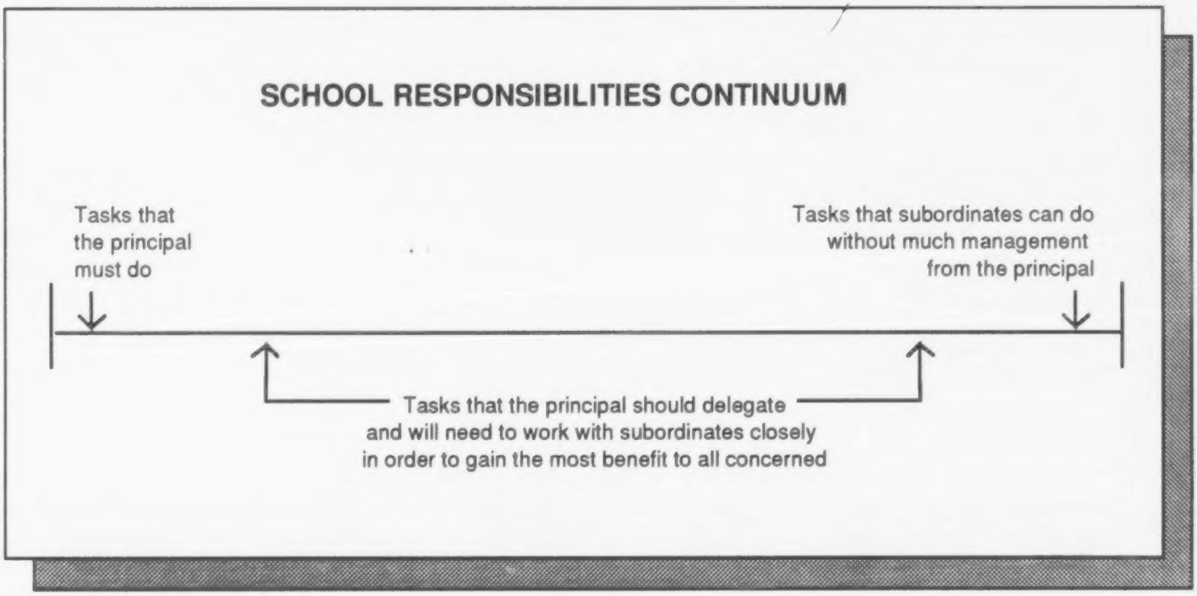
SCHOOL RESPONSIBILITIES CONTINUUM
Tasks that the principal must do
Tasks that subordinates can do without much management from the principal
Tasks that the principal should delegate and will need to work with subordinates closely in order to gain the most benefit to all concerned

FIG. 7-1

they cannot make a meaningful contribution usually results in unnecessary frustration.

CAUTIONS ON THE USE OF DELEGATION

Although participation in school policy formation and efforts to improve learning and teaching builds teacher and staff morale, principals should be aware that task assignments can be overdone. Teachers, for example, do not want to be hindered by jobs that they believe principals should do. In addition, assigning too many tasks not directly related to the classroom lowers morale just as much as noninvolvement in school decision making does.

Administrators, therefore, must be aware that task delegation involves discussion, time, follow-up, and occasional conflict. Projects that involve many participants in the decision-making process increase the diversity of thought as well as the possibility for misunderstanding. The greater the number of individuals working on a task, the more important and difficult coordination and communication become (Hoy & Miskel, 1991). Principals also should know that delegating tasks to groups does not necessarily increase the speed of the decision-making process. Nevertheless, in most instances, teachers prefer that principals involve them in planning and in tasks that have a high level of consequence for their schools.

One of the first steps in successful delegation is to decide on the person or group to whom a task or responsibility should be given. Specifically, principals should not:

- give assignments to the same individual because he or she is always willing to accept them or because he or she always do a good job and needs little instruction and support;
- give assignments that are too difficult and demanding for a particular individual or group;
- give assignments to persons who are unwilling to accept responsibility for them;
- give assignments without clearly explaining expectations and how the task will be of help to the individual and the school;
- give assignments that tend to be routine and unchallenging; and
- give assignments they are unwilling to "let go" of so that a subordinate can accomplish them in accordance with his or her personality, experience, skills, and creativity.

One of the biggest problems faced by principals in delegating responsibilities is the tendency to redelegate tasks back to themselves and to assume authority over the direction and completion of assignments. In addition, because principals are used to handling many responsibilities and to making decisions quickly, they often delegate but maintain tight control over tasks. Successful delegation, however, depends on the principal's ability to assign authority to subordinates and to permit them to complete tasks without excessive supervision and direction. Subordinates should be expected and allowed to inject ideas and express their uniqueness. Delegation, after all, is a leadership strategy to get the best resources committed to getting work accomplished, while allowing the simultaneous development of subordinates (Dyer, 1983).

THE PROCESS MODEL

Like many administrative functions, the delegation process is fairly complex. Principals cannot simply begin at the beginning and proceed through a series of finite, progressive stages until a task is completed. Rather, many process components require patient "revisiting" and are iterated many times throughout successful delegation. Above all else, successful delegation requires a flexible attitude for how the accomplishment of a task may proceed.

The seven dimensions of delegation should be considered when assigning tasks, responsibilities, or projects to others. Each is illustrated in Fig. 7-2 and described in the section on knowledge and skills.

KNOWLEDGE AND SKILLS

To be an effective delgator, principals must understand and apply the seven dimensions of delegation identified in the process model. These include task identification, identification of delegatees, defining authority and responsibility, providing support and feedback, participating in the process, defining accountability, and assessing the results.

TASK IDENTIFICATION

"If you want it done right, do it yourself!" Although the experience of many principals supports this common proposition, "doing it yourself" is often inappropriate. Expediency and " doing it right" (e.g., the principal's own way) are not the central or most important considerations for many tasks.

If principals are going to make the most efficient use of their time and make optimal use of staff and other resources, certain tasks must be delegated. Appropriate delegation helps principals:

- reinforce the principal's leadership role;
- maintain the principal's ability to participate in the most essential and appropriate activities;
- create the assurance among staff that all tasks that are possible to delegate are being per-

formed by appropriate individuals; and

- maximize the principal's—and, thereby, the school's—efficiency.

All of this presupposes the readiness of a principal to delegate, or awareness that delegation improves school effectiveness and staff growth.

But how can principals differentiate between tasks that should be delegated and those that should not?

First, it should be noted that by definition, tasks that are not the current responsibility of the principal cannot be delegated. These tasks are easily identified by determining those that are the responsibility of staff or teachers. A principal, for example, cannot delegate the in-class disciplining of a student; that responsibility already belongs to the teacher. Tasks that are functionally exclusive to the principal's job description also cannot be delegated. A principal cannot assign a subordinate to release incompetent teachers or approve the school budget, although he or she may consult or involve others in these matters.

Further, tasks that are symbolically important and central to a principal's role should not be delegated. For example, principals should address parent groups whenever requested and make important awards to students and teachers. Symbolic roles carry important social and psychological weight; therefore, even partial delegation of these responsibilities should be kept to a minimum.

All tasks that fall outside the constraints described above may be delegated.

(It is important to note that a task's pleasantness or unpleasantness, importance or insignificance, or visibility are not central to the decision of which responsibilities to delegate; that's because the adroit principal will delegate tasks fairly across all "desirability" dimensions.)

Key behaviors of effective principals include:

- showing confidence in self and a willingness to let others assume authority to complete tasks;
- identifying tasks appropriate for faculty and beneficial to the school's work;
- assuming responsibility for all tasks functionally limited to the principalship; and
- understanding the importance of maintaining the symbolic leadership role.

IDENTIFICATION OF DELEGATEES

Delegation should take place at the organizational level nearest to the point of action or concern. For example, if teachers could successfully complete a given task, it should be given to them rather than to an assistant principal, counselor, department chair, etc. This accomplishes several goals. It:

- increases organizational efficiency by freeing "higher" levels of administration for tasks more appropriate to their level;
- increases financial efficiency by utilizing personnel at lower salary ranges to accomplish tasks;
- increases the probability that the information gathered in the task completion process will be accurate, because personnel closer to the information or issues are being used; and
- increases the speed at which the task may be accomplished because "hierarchic overhead" is reduced.

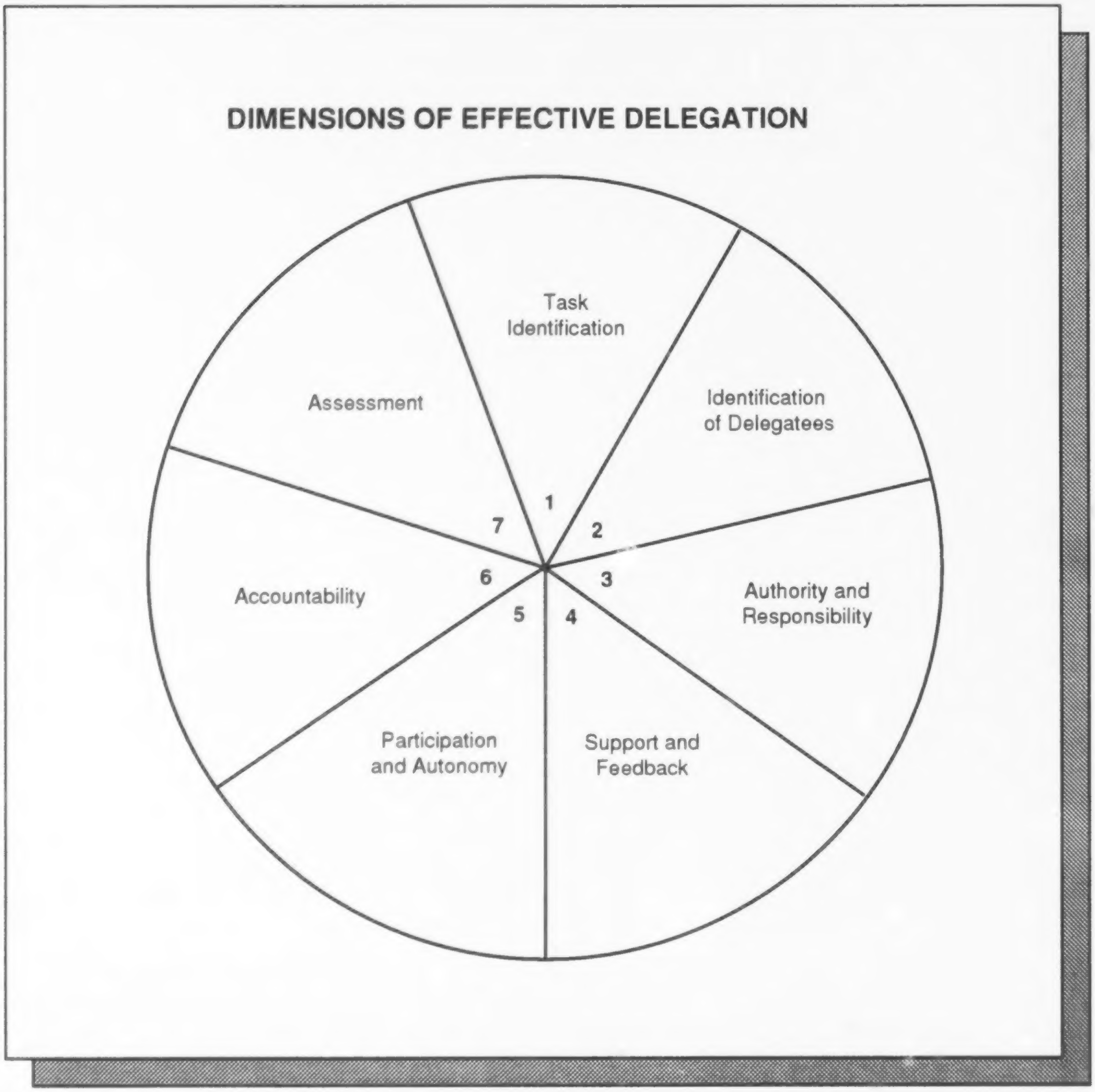
DIMENSIONS OF EFFECTIVE DELEGATION
Task Identification
Identification of Delegatees
Authority and Responsibility
Support and Feedback
Participation and Autonomy
Accountability
Assessment
1
2
3
4
5
6
7

FIG. 7-2

Delegation should not take place at a level lower than appropriate, however, because inefficiency and confusion often result on the part of individuals about their role(s) and responsibilities.

Finally, when identifying delegatees, principals should consider if a given task is relevant to a particular subordinate's career and if it is in keeping with his or her abilities and skill level.

Key behaviors of effective principals include:

- identifying delegatees appropriate for a task or tasks;
- considering stage of career development in delegating tasks;
- viewing delegation assignments as staff development as well as task accomplishment; and
- delegating to the level nearest action.

AUTHORITY AND RESPONSIBILITY

One of the most common complaints of individuals, which usually comes toward the end of a delegated task, is that they were given responsibility for accomplishing the task but insufficient authority. When this imbalance occurs, failure to accomplish the task almost always results, and future delegation is impacted negatively. Accordingly, there must be a balance between authority and responsibility.

For example, if a district superintendent has been commissioned by the school board to develop a policy on gang-related issues at the school level and then delegates that responsibility to a committee of school principals, those principals must be given the authority to create the policy. If the district superintendent is unwilling, or unable, to delegate the full "package" of responsibilities and authority, then the task is not one that can be delegated properly.

Giving too much authority, however, risks a misuse of power and may lead delegatees to avoid accountability structures. The rule of thumb in endowing authority, therefore, is that delegatees understand that they are accountable to the principal, who is ultimately responsible for the completion of the task.

To clarify responsibility and authority, principals should discuss and specify the limits of an individual's or group's discretionary actions.

Authority presupposes the ability to act without receiving prior approval. The right to negotiate, reach binding agreements, produce legitimate documents, etc., is a necessary outgrowth of having sufficient authority relative to the responsibility of accomplishing a task.

Key behaviors of effective principals include:

- delegating authority sufficient to accomplish the mission;
- accepting that delegatees may use different approaches or come to different conclusions

than the principal;
- specifying with delegatees the limits of their authority; and
- clarifying with individuals or groups their accountability to the principal.

SUPPORT AND FEEDBACK

Administrators do not take themselves out of the "loop" when they delegate a task; rather, they have a responsibility to delegatees to help accomplish the task in any appropriate way possible (e.g., by providing training, orientation, direction, support, encouragement, feedback, financial backing, etc.).

Public announcements are an important support mechanism for delegatees. Individuals and groups who will be affected by the delegation should be informed that responsibility and authority have been given to delegatees to leave no doubt as to who is responsible for the accomplishment of the task.

Feedback to and from the principal is important and should not diminish the validity of the delegation or the responsibility and authority of the delegatees. Accordingly, every effort should be made to provide delegatees with feedback and support that makes clear that they are not being monitored or evaluated. Feedback and support should be so obviously beneficial to the delegatees that they should not suspect or fear that the principal is trying to control their efforts.

Feedback and support encompas more than information, however. Delegatees also must be given appropriate and adequate resources in order to accomplish their tasks. Typically, these resources are:

- *time:* release from other responsibilities proportionate to the requirements of the assignment, or compensation for the additional workload;
- *money:* access to information and the collection of it seldom comes free;
- *equipment:* depending on the nature of the task, equipment needs (e.g., computers, electronic media, telephones, etc.) can be extensive;
- *support services:* to avoid burdening delegatees with clerical duties, they must be given adequate access to secretaries, transcription services, etc.; and
- *facilities:* physical space in which to meet and work on task accomplishment is critical to the delegatees' success.

Finally, sincere, positive, and frequent feedback is indispensable to the present and future success of delegation efforts. The psychological impact of negative feedback requires a considerable and disproportionate amount of positive feedback to counteract.

Key behaviors of effective principals include:

- identifying and making available resources necessary for delegatees to accomplish task(s);

- providing training as appropriate;
- maintaining active interest and receiving feedback;
- making the school and community aware of delegatees and their missions; and
- arranging appropriate physical facilities.

PARTICIPATION AND AUTONOMY

Participation in the delegation process occurs at two levels: the participation of the principal after delegation has taken place and the participation of subordinates in deciding how and when tasks are to be completed. With the former, a principal must make it clear that he or she is trying to facilitate task accomplishment and not trying to control or interfere with it. With the latter, delegatees should be involved in the decision-making process whenever possible. Such involvement has many positive effects:

- an increase in the speed at which participant investment in task resolution occurs;
- earlier establishment of the processes involved in communication between the principal and delegatees;
- reduction in the perceived barrier between the administration and other organizational levels; and
- higher probability that delegatees will express their doubts and concerns at a point when effective plan alterations are more appropriate.

Key behaviors of effective principals include:

- facilitating task accomplishment without interference in the group's work;
- involving individuals or groups in decisions as work evolves; and
- maintaining active communication with delegatees.

ACCOUNTABILITY

It is suggested that principals and delegatees agree in advance to meet to review programs. Such sessions give both parties an opportunity to determine if progress is being made. Principals must be cautious, however, to avoid reverse delegation if a task is not being done exactly as they would like or expect. The focus should be on results, not the process or means by which the task is accomplished. Such a focus establishes confidence in the competence of delegatees. (Delegatees, of course, are expected to stay within the limits of ethical and legal behavior and to act in accordance with organizational policy.)

To ensure accountability, the types of information to be reported and the means for reporting them (e.g., meetings, presentations, written documents, etc.) must be specified before individuals or groups are empowered to act independently. The critical nature of the task, the level of public exposure, and the experience of the delegatees all determine the accountability methods to be employed. Accountability systems are particularly important because intermittent reports can indicate the need to redefine the scope and authority of a task in order to facilitate its accomplishment.

Key behaviors of effective principals include:

- planning the review process;
- focusing on results rather than on process;
- exhibiting confidence in delegatees;
- specifying the nature of reporting expected; and
- tailoring the level of accountability to the experience of the group and the significance of the task.

ASSESSMENT

After a task has been completed, the principal is responsible for assessing participant performance. This review focuses on all stages of the process and provides for the:

- support and validation of the delegatees' work by the principal;
- establishment of the value and worth of the delegatees' efforts;
- reinforcement of the skills used and learned in the process;
- training and preparation for future delegation efforts; and
- elicitation of the delegatees' suggestions, which the principal can use in the future.

Although the principal should hold delegatees accountable for their performance, he or she should not expect perfection of them. The performance of some individuals may, in fact, be marginal; nevertheless, task results will be useful and sufficient for the most part. Accordingly, assessments should focus on the positive, or, at the very least, on issues that provide a basis for successful future efforts. Mistakes should be treated as learning experiences (Yukl, 1990).

When delegation is successful, the outcome is of high quality, the school benefits from the outcome, the participants gain a sense of accomplishment and ownership, and the professional skills of the principal and delegatees are enhanced.

Key behaviors of effective principals include:

- assessing participant performance;
- acting on task results;
- recognizing accomplishments of individuals and groups; and
- organizing closure activity, as appropriate.

PERFORMANCE STANDARDS

Throughout the school year, effective principals use delegation strategies to improve their performance and realize the missions of their schools.

After completing this domain, principals should be able to:

1) identify the benefits of effective delegation;
2) identify and explain the major elements involved in effective delegation;
3) be aware of potential problems that may hinder the delegation and the completion of tasks and projects;
4) use appropriate delegation strategies;
5) display confidence in sharing power or authority with staff—allowing others to make decisions and handle situations on their own;
6) show awareness of assignments, projects, or tasks to be completed, whether delegated or completed by the administrator;
7) communicate and explain clearly to others assigned responsibilities and expectations;
8) organize delegation efforts so that resources are available to complete tasks;
9) monitor delegatee progress and provide appropriate encouragement and praise; and
10) be willing to accept mistakes as part of the learning experience and not criticize others for performing in unique ways.

EDUCATION AND TRAINING

The activities in this section provide opportunities for skill development in the use of delegation. Each emphasizes the importance of principals and staff sharing the completion of projects and tasks. It is recommended that the exercises be used for a group of trainees and that trainees have an opportunity to participate in discussion sessions.

Specifically, the activities focus on:

- heightening the trainee's awareness of the dimensions of delegation and the need to delegate tasks in order to improve personal performance and the attitudes of others; and
- giving the trainee skill in recognizing poor delegation techniques and making suggestions for correcting delegation problems.

ACTIVITIES FOR IMPROVING DELEGATION SKILLS

Observation Skills Activity: Most trainees will be involved in clinical experiences during their training. As they visit schools, observe administrators, and serve as interns, they can gain impressions about the skills principals use in assigning, sharing, and facilitating tasks. Trainees should share their observations and impressions with their trainers and other students. The seven dimensions of delegation outlined in Fig. 7-2 can readily be used as a guide for observation and discussion.

To-Delegate-or-Not-to-Delegate Activity: Trainees should be asked to brainstorm and list on a blackboard as many administrative tasks that they can think of that occur during a given school year. Their responses should then be grouped according to the following four categories:

- The principal makes task decisions without input from subordinates.
- The principal makes task decisions after sharing problems and ideas with subordinates.
- The principal delegates tasks to subordinates, provides input, and accepts the solutions and decisions of subordinates.
- Subordinates accept tasks assigned by the principal and make decisions without further input from the principal.

Trainees then should meet in small groups—or, if the class is small, in one large group—to discuss the placement of the generated items. Although the trainees' responses will vary, the important message to be gained from this activity is that most tasks can—and should—be delegated and shared with others.

Task-It Activity: In this exercise, two or more trainees discuss a list of tasks and decide how each might be delegated. Trainees must first determine if the task is easy or complex. (Usually, the more complex the task, the more people will be required to work on it.) They then assign the task to the appropriate individual or group. (See Fig. 7-3.)

Case Study Situations: Students should read a case study and prepare a written response and/or discuss the issues with others. Below are some sample studies.

1) Your school has always enjoyed a positive climate, and discipline problems traditionally have been minimal. Recently, however, there has been an increase in discipline problems. Students are out of control; they walk through the halls at will, and you regularly are finding graffiti in the bathrooms. There are more fights on the playground, and staff morale has declined. Using what you know about delegation, develop an action plan to remedy the situation.

TASK-IT ACTIVITY

Tasks	Difficulty		Assignment (check all to be involved)				
	Easy	Complex	Vice Principal	Dept. Head	Teachers	Individual	Team
Handling crowding in cafeteria line and food throwing							
Selecting top scholastic students and giving awards in assembly							
Adding an environmental unit to 5th grade social studies class							
Studying need to include gifted and talented progams in schools							
Deciding which teachers to assign to after-school athletic events							
Putting on the faculty assembly for students							
Preparing yearly departmental budget							
Remodeling the faculty workroom							
Ordering new science program textbooks							
Organizing 3rd grade field trip to the zoo							

Fig. 7-3

Who would you involve in this task? What kind of report should be prepared? To whom should the information be given?

2) You are a high school principal faced with declining math scores and a decreasing number of girls taking math classes. Area colleges have raised their admission standards to include more demanding math coursework. Rather than adding advanced math classes, you have felt a strong need to add more classes in basic math to meet the needs of a large number of students. Develop an action plan to address the situation. Consider who you would use to help you develop it. How much authority would you give those to whom you delegate project responsibility?

Edison Elementary School Delegation Activity: Trainees should read the Edison Elementary School case study (see Fig. 7-4) and discuss the manner in which Mr. Smith and others handled the duty schedules for teachers. The questions listed at the end of the study will help trainees focus on delegation dimensions and note appropriate and inappropriate actions.

DELEGATION AT EDISON ELEMENTARY SCHOOL

Mr. Smith, principal of Edison Elementary, spends many hours at his job making sure everything goes smoothly within his large school. This year, he has decided to reduce his workload by letting others assume some of the responsibility for school operations.

The first place he is going to start is the duty schedule for teachers. What a job! Regardless of what he does, some of the teachers always complain. "Well," he mutters, with somewhat of a wicked grin, "Miss Talbert can take the heat this year." He walks down the hall and stops at Miss Talbert's office door. She is busily working on the assignment sheet for teacher aides.

"How's my favorite vice principal?" he announcs with a big grin.

"I smell some work coming," Miss Talbert responds good-naturedly. She likes Mr. Smith, and after 2 years of working together, they seem to make a good administrative team.

"I need to have you take the teacher duty schedule assignment this year, Karen, as I am up to my eyeballs in district reports."

"Okay, tell me what I need to know," Miss Talbert remarks brightly.

Mr. Smith discusses the assignment, makes some suggestions, wishes her well, and leaves.

Miss Talbert reviews what needs to be done and decides that one of the more experienced teachers should complete the assignment since these teachers are more familiar with school schedules and job demands and are better able to balance other duties and responsibilities than she is. She looks at her list to see who has the time

Fig. 7-4 continued next page

Fig. 7-4

Fig. 7-4 continued

and experience to set up a duty schedule. She narrows the possibilities to three teachers. After talking to each, she determines that Mrs. Jones would best be able to complete the assignment.

Miss Talbert asks Mrs. Jones if she would organize and assign duties for all teachers during the year. Mrs. Jones agrees with some reluctance. She knows that some teachers hate being given duty assignments. She worries that they will not accept her leadership. She spends hours working on the assignment, but after having difficulty with scheduling and with teachers being reluctant to take assignments, she goes to Mr. Smith for some help. He did not know that she had been assigned the project. He answers her questions but is slightly annoyed about the vice principal giving the assignment to a teacher, especially Mrs. Jones, who is too soft-hearted and always wants to make everyone happy. He decides to complete the job himself and quickly outlines the teacher work assignments for Mrs. Jones. In particular, he makes sure that teachers who complain the most are given the more difficult schedules.

When the teachers receive the schedule, several are very displeased. They go to Mr. Smith and complain. He is upset with the complaints and wonders, "Why am I receiving their gripes? The vice principal was in charge of this task." Miss Talbert, in turn, is concerned because she had not been involved in the task after Mrs. Jones went to the principal. She feels left out and upset that the "rug had been pulled out from under her." Mrs. Jones is worried because she feels that a number of teachers are upset with her, even though she did not make the final schedule decisions. Needless to say, a number of people are upset on the day the duty assignments are given.

Questions to Answer:

1) In considering the dimensions of delegation, where might there have been a breakdown in the communication process?

2) Was the level of authority and responsibility for the task appropriate?

3) What, in your estimation, should have been done to improve this situation and make the assignment of duty task a more workable and positive experience for all?

MEASUREMENT PROCEDURES

Delegation is a functional activity that is essential to the work of the school. The use of delegation varies from principal to principal, depending on the situation and the principal's perception of what tasks need to be delegated and to whom. Direct observation, therefore, is the most appropriate means of observing the trainee's ability to handle various delegation dimensions.

An appropriate method for determining the trainee's attitude toward delegation is to have him or her complete a self-appraisal questionnaire. (See Fig. 7-5.) Once the instrument is completed and scored, the trainee and his or her supervisor can discuss the results. If appropriate, the supervisor and other trainees can provide feedback on the questionnaire.

In situations where trainees serve as administrative interns or are required to participate in an administrative practicum, supervisors can visit schools and receive immediate feedback on the trainees' delegation skills. Supervisors can observe trainees in action and also talk to the school principal about the trainees' ability to assign tasks. If desired, the supervisor can assign interns a "Delegation Task Sheet" to be completed between visits. When appropriate, the supervisor and trainees can discuss the delegation task sheet entries and the trainees' perception of their performance.

SELF-APPRAISAL OF READINESS FOR DELEGATION

The following exercise is designed to help you determine your attitudes on issues important to proper delegation. Read the following statements, responding to each according to the following scale:

5=Strongly Agree 4=Agree 3=Neutral 2=Disagree 1=Strongly Disagree

__ The methods that are used to accomplish a task are just as important as the results.

__ It is more important to make sure the job is done correctly than cooperatively.

__ Obtaining staff input is often not worth the effort.

__ In differences of opinion with staff, principals should do what they think is right, and they will usually end up being right.

Fig. 7-5 continued on next page

Fig. 7-5

Fig. 7-5 continued

__ Sharing significant amounts of authority with subordinates is an avoidance of a principal's responsibilities.

__ Principals typically are more motivated than their subordinates in completing responsibilities.

__ Principals should demonstrate their leadership ability and skills to their subordinates as often as possible.

__ The principal is usually in the best position to select which tasks are appropriate for delegation.

__ Subordinates only need specific, clearly relevant information to carry out a delegated task.

__ The principal should determine what human and material assistance is needed to carry out a delegated task.

__ If a subordinate is qualified to accomplish the task, he or she should not need much training.

__ The subordinate does not need to know which additional internal and external resources are available beyond those that he or she has been given by the principal.

__ The subordinate should provide frequent progress reports at each significant step of the decision process.

__ Selecting others to handle tasks is mainly the responsibility of the principal.

__ The principal is responsible for frequently monitoring the delegatee's work.

__ For legal and political reasons, the delegatee should be restricted in the amount of flexibility in methodology and personal style allowed.

__ Mistakes should be avoided at all reasonable costs.

__ To not create the wrong impression, the principal should be cautious about giving public credit to the delegatee when the task is completed.

__ It is more efficient for the principal to begin tasks and then have subordinates complete them.

__ Most staff members are reluctant to assume additional responsibility beyond their normal assignments.

Scoring: Total your responses to the 20 statements, then divide that total by 20 for your average score. Use the following guide to interpret how your personal attitudes likely influence your ability to delegate properly and effectively:

4.6–5.0 = negative influence
3.6–4.5 = limiting influence
2.6–3.5 = neutral
1.6–2.5 = fairly positive influence
1.0–1.5 = very positive influence

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II. PROGRAMMATIC DOMAINS

These domains focus on the scope and framework of the educational program. They reflect the core technology of schools, instruction, and the related supporting services, developmental activities, and resource base.

INSTRUCTION AND THE LEARNING ENVIRONMENT

DOMAIN 8

DEVELOPMENT TEAM

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INSTRUCTION AND THE LEARNING ENVIRONMENT

DEFINITION

Instruction and the Learning Environment: Creating a school culture for learning; envisioning and enabling with others instructional and auxiliary programs for the improvement of teaching and learning; recognizing the developmental needs of students; ensuring appropriate instructional methods; designing positive learning experiences; accommodating differences in cognition and achievement; mobilizing the participation of appropriate people or groups to develop these programs and to establish a positive learning environment.

Effective principals serve as instructional leaders in four ways: They possess a substantial knowledge base, and they plan, implement, and evaluate instructional programs collaboratively (Keefe & Jenkins, 1984,1991). Each of these is described in more detail within.

FORMATIVE KNOWLEDGE

Principals must know school curriculum trends, new approaches to organizing schools, state-of-the-art instructional media and methodology, and research on improving student outcomes. They use this knowledge to shape the learning environment, and in so doing not only ensure delivery of the curriculum but also establish their position as instructional leaders. A comprehensive knowledge base provides principals with insight on the central task of the school—instruction.

PLANNING

Understanding educational trends gives principals a solid base for instructional planning. Effective principals initiate the development of broad school goals and work collaboratively with teachers to formulate goals for various areas of instruction. They help teachers organize for instruction by arranging an assessment of student skills, learning styles, and program needs. Planning is complete when the instructional goals are translated into operational objectives and school improvement programs. In addition, effective principals secure appropriate resources for instructional programs and design recognition systems to support them. (See Domain 13, Resource Allocation.)

IMPLEMENTATION

The planning process leads naturally to activities that enhance teaching and learning, beginning with the selection and employment of first-rate teachers. The process continues with the alignment of resources and goals, the setting of high standards for teachers and students, and the supervision of instruction.

A school's climate for learning is a product of the collective efforts of principals, teachers, parents, and students. Successful principals know how to involve the talents and abilities of these groups to produce conditions that make quality instruction possible.

Familiarity with the attributes of quality instruction enables principals to validate effective practices and to help teachers improve their performance. Accordingly, they emphasize academics, quality student-teacher interactions, and the use of incentives and rewards in order to affect student outcomes.

School cultures that focus on accomplishments and provide recognition can improve student outcomes (Maehr, 1991). Conversely, students whose accomplishments are recognized have a sense of commitment to their institutions, and this contributes to positive school culture. To achieve this focus, principals must possess key interpersonal skills and knowledge of instruction. (See Domains 15 and 16, Interpersonal Sensitivity and Oral and Nonverbal Communications, respectively.)

EVALUATION

Schools that help students learn and grow can be clearly identified. They are the ones reporting good achievement gains, high average daily attendance, substantial library and media usage, almost all students receiving passing marks, and a good percentage of graduates. Further, longitudinal studies of graduates show markedly high rates of success in college and on the job. Effective schools also report low incidences of vandalism and student discipline referrals.

Effective principals systematically collect such evidence, as it supports instructional policy and serves as the basis for program improvement. Basing educational decisions on such information establishes the principals' professionalism in the eyes of the community and earns them public respect and support. (See Domain 12, Measurement and Evaluation.)

LITERATURE REVIEW

The research describes several characteristics of principals who are effective instructional leaders. First, they spend time differently from less effective principals (McCleary & Thomson, 1979; Keefe, Clark, Nickerson, & Valentine, 1983; Pellicer, Anderson, Keefe, Kelley, & McCleary, 1988, 1990; Smith & Andrews, 1989). Second, their strong leadership has a positive effect on student achievement. Third, they generally perceive instructional leadership as a collegial process.

Effective principals:

- hold teachers and students to high expectations;
- spend a major portion of their day working with teachers to improve the educational program;
- work to identify and diagnose instructional problems; and
- become deeply involved in school culture and climate to influence student learning in positive ways (Bird & Little, 1985; Hallinger, Murphy, Weil, Mesa, & Mitman, 1989, May).

Effective principals organize their day so that their time and attention are focused on instructional rather than the routine matters (Smith & Andrews, 1989). Less effective principals allocate their discretionary time poorly or simply exhibit poor behavior patterns. In addition, strong instructional leaders are proficient in at least three specific areas: *content competence, methodological competence,* and *supervisory competence.* Although each of these areas is distinct and important, all are interdependent and part of a greater whole (Keefe, 1991).

Content competence implies a knowledge of subject matter practices and trends. It is the ability of principals to assist teachers in organizing and presenting academic content, skills, and instructional resources. Principals may exhibit this competence in only one or two subject areas; nevertheless, they serve as instructional resource providers and facilitators for areas in which they are less knowledgeable.

Methodological competence presumes a knowledge of instructional strategies and modalities. It is the ability of principals to assist teachers in improving instructional delivery, be it setting and stating objectives, choosing among competing methodologies, or effectively using their time to direct instruction, conduct cooperative small groups, arrange peer tutoring, etc.

Supervisory competence requires knowledge of the administrative and interpersonal skills of instructional supervision. These include managing peer supervision, helping teachers implement effective instructional practices, and conducting clinical supervisions and/or performance appraisals.

Not all principals need to achieve equal competence in the above areas. Supervisory competence is basic; methodological competence is also important and must be continually updated; knowledge of academic content will vary with each principal's background and interests.

Effective instructional leadership is a collegial, collaborative process that involves all of the significant members of the school community. It demands a knowledge of the staff and of the learning process and a systematic plan to marshal school resources. More specifically, according to the NASSP study of high school leaders and their schools (Vol. II: Pellicer et al., 1990):

> Instructional leadership is not a discrete set of behaviors or activities such as ordering curriculum materials, monitoring and evaluating teachers, or providing staff development. It is not just a responsible attitude to provide support for good teaching, adequate materials, a stable climate, good student discipline, and a general attitude conducive to effective instruction. It is not simply a philosophical bias, a written mission statement, a rhetoric about the importance of instruction.
>
> Instructional leadership is the initiation and implementation of planned changes in a school's instructional program, through the influence and direction of various constituencies in the school. Instructional leadership begins with an attitude, an expressed commitment to student productivity, from which emanates values, behaviors, and functions designed to foster student satisfaction and achievement. (p. 57)

THE INFORMATION PROCESSING MODEL

In the past, instructional design and delivery have been based primarily on behaviorist models. Education (instruction and learning) has been viewed as a set of techniques and procedures that change an individual if properly applied. At the lowest skill level, there is probably justification for this view.

Direct instruction techniques are the most recent manifestation of this tradition. Students can be taught basic skills via carefully designed steps that incorporate reinforcement, evaluation, and reteaching. But much of education transcends basic knowledge and skills. It requires that students interact with the instructional content and process. According to Mason (1972):

> The horrendous danger in educational techniques of the followers of Skinner and Bruner . . . is that man is made over into the image of the techniques by which he is studied. To the contrary, . . . the person thinking always transcends the structure of the disciplines by which he thinks, and the person transcends his behavior, however induced. (p. 250)

The brain is a complex system for information processing and storage. Much remains to be learned about its performance (Travers, 1982). Considerable research has been conducted and continues on the human nervous system and on the ways humans process information. Recent literature on the development of artificial intelligence, which attempts to develop computer programs to solve problems, has stimulated widespread interest in the relationship between computers and human processing. As Travers notes:

> Educators have long viewed the acquisition of knowledge as the very focus of education. Research on information processing has much to say not only about knowledge acquisition, but also about how information can be most readily made available to learners, and what learners can do to store that information efficiently so that it will be available for later use. (p. 25)

A model of the general operations of human information processing can be found in Fig. 8-1 (Letteri, 1985). Although the model presents the system's various phases, operations, and controls in a linear fashion, the system itself is dynamic and its components interrelated.

Information must pass through the individual's information processing system if it is to be learned, retained, and recalled. The information is received from the external environment via the senses and briefly stored in perceptual memory. The individual

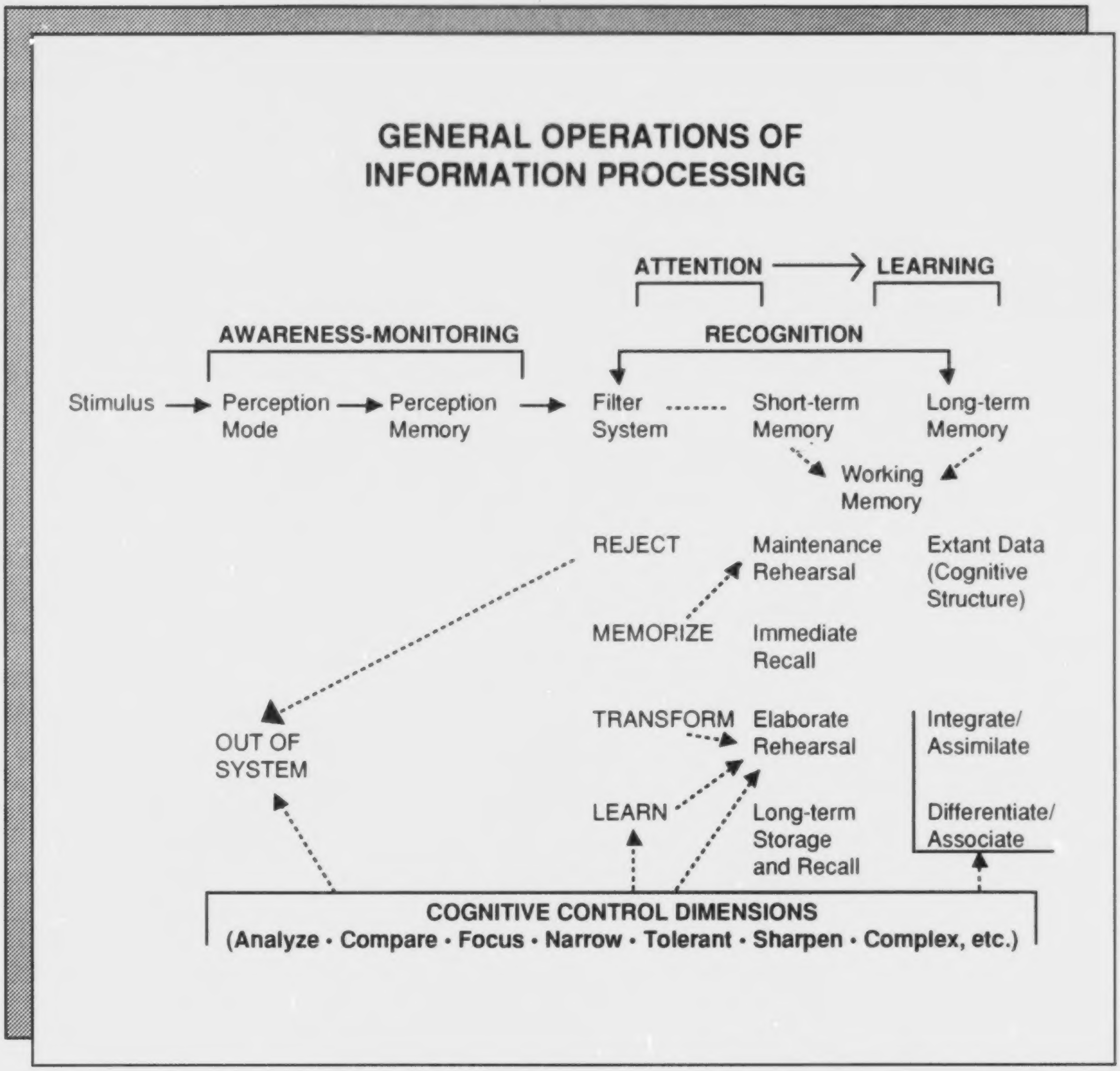
GENERAL OPERATIONS OF INFORMATION PROCESSING
ATTENTION
LEARNING
AWARENESS-MONITORING
RECOGNITION
Stimulus
Perception Mode
Perception Memory
Filter System
Short-term Memory
Long-term Memory
Working Memory
REJECT
Maintenance Rehearsal
Extant Data (Cognitive Structure)
MEMORIZE
Immediate Recall
TRANSFORM
Elaborate Rehearsal
Integrate/ Assimilate
OUT OF SYSTEM
LEARN
Long-term Storage and Recall
Differentiate/ Associate
COGNITIVE CONTROL DIMENSIONS
(Analyze • Compare • Focus • Narrow • Tolerant • Sharpen • Complex, etc.)

Fig. 8-1

then decides what to do about it, given the physical characteristics of an object, the perceiver's attitude toward the object, etc. He or she may opt to reject the information, memorize it for term recall, transform it, conform it to prior messages, or learn it by integrating, assimilating, differentiating, or associating it with his or her working and long-term memory. This process results in a changed cognitive structure for the individual.

This model provides a workable framework for guiding instructional leadership. Instructional programs designed in accordance with information processing theory result in emphases that differ from conventional practice. These differences include: diagnosis of student developmental readiness to learn; diagnosis of prior knowledge and skills; analysis of student learning styles; focus on study and thinking skills; flexible approaches to instruction; and cognitive training.

For cognitive-based improvement of teaching and learning, effective principals must provide direction, resources, and support to teachers and students, as well as information to parents. This requires that they work with staff to:

- *Set instructional objectives* based on district and school vision statements and desired student outcomes.
- *Develop a data base* by gathering and cataloging school information (e.g., prior test results, program descriptions, scheduling and grouping practices, teaching strategies, etc.) and determining the extent to which research on effective schools, learning/cognitive styles, and school culture/climate have influenced instructional planning. (See Domain 12, Measurement and Evaluation.)
- *Identify staff development* needs by determining the skills staff members already possess, what new individual and group skills are needed, and what resources must be made available.
- *Implement desired changes* by selecting appropriate programs or methodologies, setting realistic expectations, establishing timelines, initiating changes, and cultivating a school culture that is focused on accomplishment and recognition. Implementation is facilitated if a coordinated model of schooling is adopted, such as the Model of Personalized Education in Fig. 8-2 (Keefe & Jenkins, 1984).
- *Evaluate program effectiveness* by assessing the success of implementation, the improvement of student outcomes, and the degree of program effectiveness. Evaluation can be facilitated by a comprehensive evaluation model such as NASSP's Comprehensive Assessment of School Environments Information Management System (CASE-IMS) (Howard & Keefe, 1991), or NAESP's standards for quality elementary and middle schools (1984, 1990) and early childhood education (1990).

The Personalized Education model in Fig. 8-2 is cyclical and includes diagnosis, prescription, instruction, and evaluation. It begins with the student's need for a supportive learning environment and calls for the development of working components in 12 broad and related areas of the school program, all grounded on the human information processing model.

Diagnosis is the foundation of a personalized approach. Teachers look carefully at student characteristics, including developmental factors, learning strengths and weaknesses, the nature of the learning environment, and social/community circumstances. They then diagnose the readiness, learning styles, and cognitive/affective skills of each student.

Prescription is concerned with goal-setting, program planning and placement, and student advisement or counseling. Teachers act not only as instructors, but also as mentors to students and as their primary in-school contacts. They determine appropriate instructional objectives and activities for each student in accordance with district and school curricular goals.

Instruction embraces flexible teaching styles, teaching methodologies, and time use, and emphasizes study and thinking skills. Teachers are involved in structuring the learning environment, communicating, reinforcing, facilitating, and monitoring student achievement, and encouraging students in the appropriate use of time and skills.

Evaluation encompasses student progress reporting, teacher supervision, and program evaluation. It is concerned primarily with student performance and success. It is both the culmination and a new beginning for the personalized cycle. It provides impetus for program revision and new initiatives.

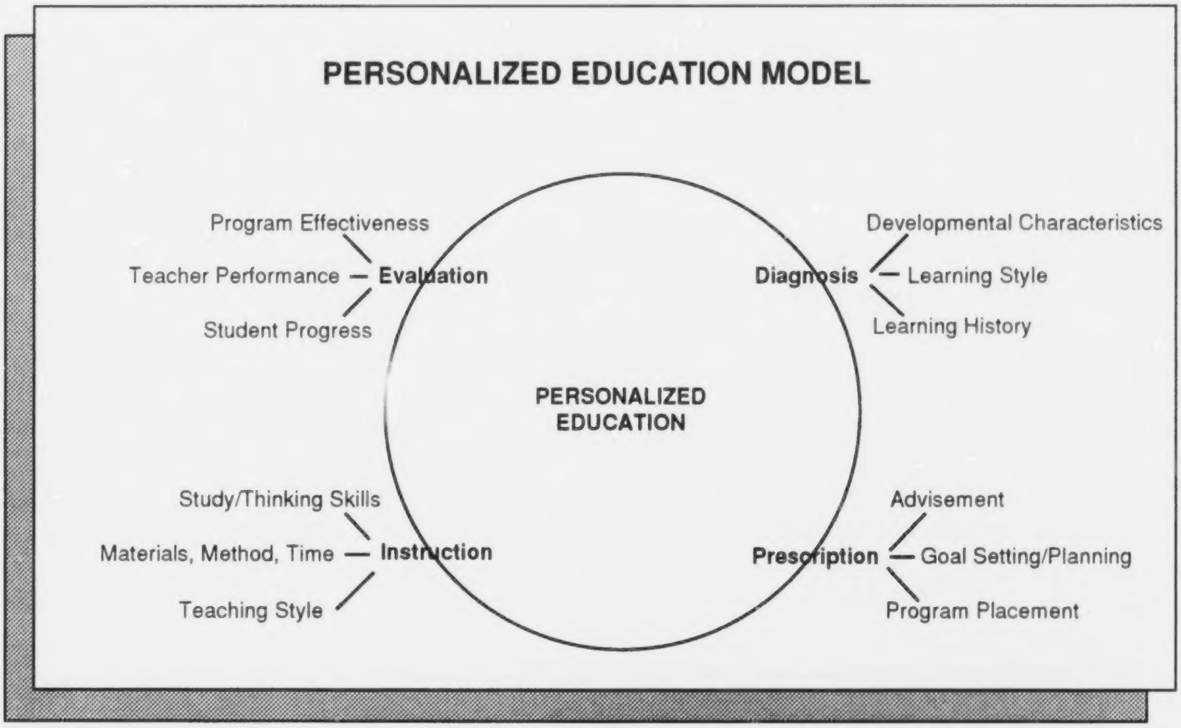
PERSONALIZED EDUCATION MODEL
Program Effectiveness
Teacher Performance
Evaluation
Student Progress
Developmental Characteristics
Diagnosis
Learning Style
Learning History
PERSONALIZED EDUCATION
Study/Thinking Skills
Materials, Method, Time
Instruction
Teaching Style
Advisement
Prescription
Goal Setting/Planning
Program Placement

Fig. 8-2

KNOWLEDGE AND SKILLS

To be effective instructional leaders, principals must possess knowledge and skills in the key areas described below.

RESEARCH

"Common sense" and tradition are insufficient to improve teaching in schools, and principals who rely on them carry poor instructional practices forward from one generation to the next. It is imperative, therefore, for principals to be knowledgeable of research-validated practices in schools. Formal research studies provide the most reliable and consistent base on which to upgrade, expand, and enhance the quality of teaching and curriculum design. Thoughtful, reflective practice also contributes insight. School administrators must know how to evaluate and apply research and reflective practice if they are to improve their instructional programs.

Specific behaviors of effective principals include:

- knowing the strengths and weaknesses of inductive versus deductive reasoning and recognizing which approach is being used in research-based articles if it has not been specifically identified;
- understanding basic research terminology such as hypotheses, constructs, propositions, concepts, and theories;
- displaying curiosity about learning new procedures for effective instruction within a logical, testable framework;
- knowing how to judge a theory's truthfulness via the correspondence principle of conforming known facts;
- knowing that so-called classical laboratory experiments cannot be performed in "live" school situations and knowing why the superiority of some practices depends on contextual variables;
- assisting teachers as researchers to employ reflective practice; and
- translating theory and practice to parents and the community.

Ineffective behaviors of principals include:

- jumping to conclusions based on a superficial understanding of research or results reported in non-research journals;
- not being able to separate research from opinion or advocacy;
- overgeneralizing from skimpy data;
- failing to demonstrate an understanding of basic research processes or procedures and their results;
- believing that good research is always accompanied by a plethora of data and tables; and
- not understanding the difference between quantitative and qualitative research.

LEARNING STYLES

Schools have largely been insensitive to the differences among learners. Teaching methods, school organization, textbook selection, and school curriculum are typically based on the erroneous belief that all students possess the skills to learn and can successfully respond in the same way to curriculum, resources, and methods. A cogent body of research and best practice is emerging, however, that affirms the importance of starting the educational process with a careful analysis of a student's readiness, academic skills, learning style, and the student's learning environment.

Learning style relates to how a student learns and likes to learn, for each student has his or her personal learning style. Current research suggests that learning style can be defined by the following domains: perceptual/cognitive, affective, physiological, and environmental. Principals must understand the meaning and importance of these domains and have a working knowledge of the dominant learning style models and instruments (e.g., NASSP Task Force, Letteri [1988], Dunn and Dunn [1978], Gregoric [1979], and McCarthy [1987]). They also must know the range of learning style characteristics contained in each model and how these characteristics are assessed by the models. In addition, principals must know the major elements of style-based instruction, particularly how cognitive style deficiencies can be remediated or augmented.

Effective behaviors of principals include:

- providing systematic staff development for teachers and administrators in learning-style diagnosis and instructional applications;
- recognizing the importance of cognitive style diagnosis and related augmentation/remediation activities to help students improve basic information processing skills;
- knowing how cognitive styles (basic cognitive skills) relate to thinking skills (higher-order skills) and knowing how to evaluate the merits of the various approaches to thinking-skills development;
- working toward a more flexible learning environment with cognitive augmentation for students who need it and instructional alternatives to support student affective, physiological, and environmental strengths;
- encouraging teachers to monitor their instructional activities continually to ensure compatibility with instruction, evaluation, and student strengths; and
- promoting the use of developmentally appropriate practices, especially in early childhood educational programming (Early Childhood Education and the Elementary School Principal, 1990, NAESP).

Ineffective behaviors of principals include:

- assuming that all students have the basic information-processing skills they need to learn any subject matter;
- insisting that instruction be based on a single school-wide model or mode of teaching and learning;
- believing that all learning-style models are grounded in adequate theoretical and applied research;
- professing that teaching is exclusively an interactive art and requiring no data to support instructional planning and decision making;
- failing to understand that all student placement, instruction, and evaluation must be grounded in valid analyses of existing student style strengths and preferences; and
- not recognizing variance in adult learning styles (adult pedagogy) and its implications for teaching students.

INSTRUCTIONAL APPLICATIONS

If improved achievement is to be realized, knowledge of learning styles must be translated into specific teaching practices that address student skill deficiencies and assessed learning preferences. Principals, therefore, must understand the instructional application of learning style.

Cognitive styles reflect the human information processing system and are instrumental in all learning. A student with good cognitive skills is ready to learn efficiently and successfully. Strategies and activities to adapt the learning environment to learner needs and preferences have been developed in innovative schools and in clinical field studies based on learning-style literature emphasizing the perceptual, affective, physiological, and environmental aspects of style. The reality, however, is that students with weak cognitive skills cannot process information effectively, even within specially tailored learning environments. Fortunately, cognitive skills can be strengthened. Cognitive elements, therefore, are the starting points for style-based instruction.

Principals must know how teachers are trained to remediate and augment student cognitive skill deficiencies. They also must understand and help teachers to design learning resources and flexible environments to support the education of students with average or better cognitive skills. In addition, they need to understand the relationship between basic cognitive skills and higher-order thinking skills and organize the school learning environment to enhance student growth along this skill continuum.

Effective behaviors of principals include:

- knowing the principles behind cognitive augmentation or remediation (e.g., how to assist students with weak analytic,

spatial, memory, sequential or simultaneous processing, and other similar basic cognitive skills);
- recognizing that basic cognitive skills (styles) are directly related to—and are the basis of—higher-order thinking skills;
- being familiar with validated and widely available methods for assessing cognitive skills; and
- appreciating the cultural and environmental bases for certain student style preferences or skill characteristics, and understanding how these qualities support or impede successful school learning and how they can be appropriately accommodated.

Ineffective behaviors of principals include:

- not knowing or being able to explain how learning styles influence teaching activities in real or hypothetical classrooms;
- believing all cognitive strengths and weaknesses primarily are inherited and not subject to training and modification;
- professing that traditional lecture and question-answer instructional methods are suitable for all students;
- insisting on traditional classroom organization that primarily promotes uniformity; and
- not understanding the relationship between basic cognitive styles and higher-order thinking skills.

SCHEDULING AND ORGANIZATIONAL STRUCTURES

Mastery of scheduling—be it traditional, block, flexible, rotational, alternating, intensive, or continuous progress—always has been one of the hallmarks of an experienced middle-level and high school principal. Since the 1960s with Trump's Model Schools program, the traditional five- or six-period day has been altered steadily in a variety of formats to accommodate different teaching approaches, including large group, small group, and laboratory- or activity-focused instruction. The most irksome problems that emerged from these efforts have been implementing true interdisciplinary curricula and student misuse of unscheduled time.

With the advent of site-based management and school "restructuring," there is renewed interest in flexible scheduling. Flexible scheduling is defined as the use of nontraditional units of time or student groupings, or the close matching of time patterns to programmatic aims or curricula structures.

In elementary schools, various classroom organizational structures—nongraded schools, multiage clusters, grouping practices—provide the framework for principals to implement programs designed to improve learner outcomes. Among the more promising instructional strategies coming from this approach are cooperative learning and peer tutoring.

The unidimensionality of traditional schedules and organizational structures are easy to implement but violate all that is known about human learning. Accordingly, principals must understand scheduling and organizational options and how each may—or may not—facilitate desired instructional modalities to achieve intended learner outcomes. Another goal of redesigned schedules and structures is to reduce teacher isolation by providing opportunities for collegiality and cooperation among staff.

Of growing interest at the middle and high school levels are "block schedules." Block, or open, schedules are a less mechanical means to arrange instruction. They give teachers flexibility in designing and delivering instruction according to subject matter, classroom activities, and student interests and learning styles. Block schedules also permit inter- or multidisciplinary curricula to be developed and taught effectively.

At the elementary school level, interest in nongraded instruction is growing (Goodlad & Anderson, 1987). The integrated curriculum, in which content is taught thematically, also is an area that promotes curriculum flexibility. Innovative approaches to class scheduling and school organization provide new opportunities for team planning and team teaching by the faculty.

Effective behaviors of principals include:

- identifying how various forms of scheduling or organizational structures can incorporate different teaching strategies (e.g., team teaching, interdisciplinary studies, multiage clusters, independent study, cooperative learning, etc.);
- relating various types of desired learner outcomes to scheduling and organizational practices and indicating which will be constrained or improved as a result; and
- being able to select and implement a model schedule or structure for a hypothetical school when given an explicit philosophy, a basic curriculum design, and information about pupil learning styles and faculty preferences.

Ineffective behaviors of principals include:

- being able to name various types of schedules or organizational patterns but not knowing how they may facilitate or impede the delivery of desired teaching strategies or learner outcomes; and
- always viewing alternative teaching approaches, new curricular designs, or learner outcomes in terms of traditional scheduling and organizational frameworks.

TEACHING MODELS

Traditional secondary schools employ lecture-test teaching as the dominant methodology. Traditional elementary schools also use whole-class instructional practices. Although some students learn with this approach, many others do not. Schools, therefore, must employ a variety of teaching approaches and student groupings to be successful. Principals, in turn, must be familiar with current teaching models and ways to help teachers employ them in various learning environments.

Effective behaviors of principals include:

- understanding that a teaching model also can be a learning model, a guide for student and teacher alike; and
- being able to recognize the differences between the syntax and structure of various teaching approaches (e.g., the tight structure of an advanced-organizer model, the moderate structure of inductive teaching, and the low structure of independent group investigation).

Ineffective behaviors of principals include:

- viewing all teaching as essentially the same with differences in motivational content and/or pace as the only ways to distinguish the respective classroom performances of teachers.

ASSESSMENT AND DATA UTILIZATION

Accountability reform laws emphasize the importance of formulating student achievement plans based on statewide tests. Principals must know the strengths and weaknesses of these tests and understand the use of test data to improve student performance. They also must know alternative approaches to evaluating achievement, such as portfolios and holistic assessments.

If principals are to select tests, they must understand test construction and its relationship to desired curricular outcomes. They must know how to read test data, relate it to instructional units, and effectively communicate its meaning to faculty and parents. Principals also must know how to translate test data into instructional practices that enhance student performance. (See Domain 12, Measurement and Evaluation.)

Effective behaviors of principals include:

- being able to explain the emerging practice of authentic assessment and the relationship between criterion- and norm-referenced performance tests;
- understanding and being able to explain the development of tests, their basic assumptions and limitations, and the major problems facing their fair construction;
- knowing how to disaggregate

test data and link it to curriculum and instructional practices that improve test performance;
- being able to cite at least three common weaknesses of teacher-constructed tests and their misuse in classrooms; and
- understanding the differences between traditional and emergent forms of evaluation.

Ineffective behaviors of principals include:

- failing to understand the legitimate and unfounded uses of traditional versus authentic assessments;
- believing that tests measure immutable characteristics and schools should group students using such practices; and
- using standardized tests to group pupils for instruction.

SUPERVISORY TECHNIQUES

Historically, principals have used one basic supervisory technique to improve instruction: observation followed by a write-up on district forms. This approach is unsuitable for many teachers, however, because it does not necessarily take into account a teacher's developmental "career stage." A good supervisory procedure is one that improves technique and stimulates professional growth, regardless of the experience of the teacher. Because supervisory methods must be differentiated, principals should demonstrate knowledge and skill in a variety of supervisory procedures, including traditional, clinical, and democratic (Cogan, 1973; Sergiovanni, 1991).

Effective behaviors of principals include:

- being able to explain how various facets of classroom performance (e.g., teacher maturity, technique, nature of objectives, nature of learner, nature of curriculum) lead to different supervisory approaches;
- identifying strategies that lead to the renewal of tenured teachers and their continued motivation to grow; and
- demonstrating alternative supervisory methods (e.g., peer supervision, micro teaching, and differentiated supervision) (Klein, 1989; Sergiovanni, 1991).

Ineffective behaviors of principals include:

- using only one model of supervision for all teachers; and
- being unable to select the supervisory method most suitable for teachers with varying levels of expertise and motivation in the classroom.

TEACHER EVALUATION

Principals need to know how to develop, adapt, and use various teacher evaluation forms and practices to ensure curriculum continuity and delivery. They also need reliable classroom observations as a measure of instructional effectiveness. Teacher observation historically has been plagued by unreliable measures and infrequent data gathering. Evaluation, consequently, has provided little substantive information for improving classroom performance. Effective principals know the strengths and weaknesses of traditional observation models. They know how to improve the reliability of observation and notation of classroom teaching, and how to engage in a variety of follow-up activities that improve teaching and provide data for legal actions, should they become necessary.

Effective behaviors of principals include:

- describing a typical teacher evaluation form by its major strengths, weaknesses, and assumptions and knowing how to translate these into improved observational and data-gathering procedures; and
- constructively critiquing any formative or summative evaluation report on a teacher and indicating three ways professional performance could be improved.

Ineffective behaviors of principals include:

- being unable to describe procedures for addressing the problems of a marginal teacher or for designing a notation system that could withstand legal scrutiny for teacher dismissals.

SCHOOL CULTURE FOR LEARNING

If principals are to improve instruction, they must have the "big picture" of the school environment and its impact on student achievement. Effective principals know how to design a school culture for learning and can relate various learning conditions, technologies, grouping modalities, and teaching techniques to desired student outcomes.

Furthermore, principals must incorporate this knowledge base into a management system that blends with the determinants of effective schools and operationalizes the change process. Success cannot be gauged by simple teacher observation alone. Using sophisticated assessment techniques (e.g., NASSP's Comprehensive Assessment of School Environments Information Management System [CASE-IMS] or McREL's A+chieving Excellence program), principals must view the entire school as the unit of analysis.

Effective behaviors of principals include:

- integrating day-to-day administrative tasks with technology, school objectives, and desired cognitive and affective learner outcomes to maximize school and student achievement;
- identifying initiatives to build a school culture that focuses on achievement and recognition;

- planning and executing the change process necessary for improved instruction;
- being able to describe NASSP's CASE-IMS software, McRel's A+ program, NAESP's Standards for Quality Elementary and Middle schools, and NAESP's Early Childhood Education standards.

Ineffective behaviors of principals include:

- being unable to relate key elements of the school culture to desired student outcomes; and
- viewing technology as a "room with computers somewhere" and being unable to explain how technology can be related to specific instructional modalities.

USING SCHOOL FACILITIES

Although educational reform is moving quickly on a variety of fronts, most school facilities still reflect traditional concepts and applications of organization, scheduling, and instruction. As a result, school facilities can present formidable obstacles to reform. Principals, therefore, must understand the role their buildings play in reinforcing specific types of human responses (e.g., the isolation of individual teachers, or the separate-subject approach to instruction). Furthermore, they need to alleviate the impact of obsolescent facilities on the learning process by modifying the physical plant to support priority programs and attain desired outcomes.

Effective behaviors of principals include:

- being able to explain how a traditional "egg crate" school can be modified to facilitate different grouping and teaching modalities (e.g., teaming, cooperative learning, or nongraded instruction);
- being able to design a school building when given a profile of students and teachers and a set of outcomes that require both didactic and inductive teaching-learning methods; and
- developing at least five ideas for modifying a school environment to enhance instruction when given a model of an existing school.

Ineffective behaviors of principals include:

- viewing technology as simply an "add-on" to the traditional school facility;
- citing outdated school facilities as an excuse to avoid productive initiatives that shape teaching and learning in schools; and
- viewing the school plant as simply "bricks and mortar," rather than as a learning environment.

CRITICAL PEDAGOGY

Critical pedagogy is a process by which a school's total instructional program is examined to determine its benefits. It asks "whose norms" are being taught and "whose culture" is being held up as the one to emulate. These questions are important because all instructional programs are a series of values embedded in a given set of cultural norms.

Critical pedagogy seeks to create a "level playing field" for all students. It recognizes the diversity that children bring to the school and respects the many cultures and perspectives that exist in an increasingly multicultural society. It views instructional programs as being more than the teaching of classes or the use of technology; rather, it recognizes the dominant values that shape programs in schools. Critical pedagogy is a process by which these dominant values are examined, discussed, and analyzed to ensure instructional equity for all students. Accordingly, principals must understand its elements so that they can use it effectively.

Effective behaviors of principals include:

- being aware of the ways schools mirror larger social relationships and reproduce them in school routines and rituals; and
- being aware that schooling is not a neutral activity, that it can perpetuate existing socioeconomic inequities by the "hidden curriculum" if that curriculum is left unattended.

Ineffective behaviors of principals include:

- being unaware of the conflicting messages that school curricula, teaching practices, and rules send to students about their "place" in the educational process;
- not recognizing that dominant control mechanisms in schools can be antithetical to success with some minority groups;
- not understanding that school curriculum is a social construct reflecting ethical, intellectual, and moral choices; and
- not understanding that teachers are not the only ones who "teach" students, that the total school environment is involved in pedagogical lessons.

EFFECTIVE STAFFING PATTERNS

Human resources are the most important and expensive school assets, yet today's schools treat them with an amazing degree of homogeneity. Little differentiation is made among teachers based on their expertise or role specialization. Effective schools require much deeper role specialization, and principals, therefore, must know and be able to employ leadership models that are collegial and transformational (Sergiovanni, 1991).

Principals need to relate various staffing patterns (self-contained, departmentalized, team, interdisciplinary, differentiated) to instructional practices and student grouping options (lecture or large group, seminar or small group, nongraded, clustering, independent study, tutorial automated) and configure them for program effectiveness.

Effective behaviors of principals include:

- relating staffing patterns to program objectives;
- being able to explain how the capabilities of individual teachers could be used in different roles within a school, its organization, and its schedule;
- envisioning at least three instructional-diagnostic capabilities centered on learning rather than on direct classroom teaching; and
- being able to explain how subject areas can be integrated with scheduling practices and instructional plans.

Ineffective behaviors of principals include:

- always envisioning new roles of teacher's aide, special reading teacher, grade-level teacher, etc. as "add-ons" to existing teacher functions.

BUDGETING RESOURCES

Site-based management holds principals accountable for the operation of school programs and the allocation of resources. These expanded responsibilities require that principals have increased knowledge of fiscal management, including the ability to tie expenditures to program objectives and instructional practices. In addition, principals will involve more people in the budget development process and must be able to explain school financial priorities and practices to parents and community organizations. (See Domain 13, Resource Allocation.)

Effective behaviors of principals include:

- explaining the relationships between resource allocation and program objectives;
- involving appropriate staff in budget development;
- being able to identify potential additional revenue sources.

Ineffective behaviors of principals include:

- being unable to conceptualize fiscal resources in terms other than traditional line items; and
- allocating fiscal resources without maximizing expenditures in creative ways.

PERFORMANCE STANDARDS

After completing this domain, principals should be able to:

1) identify the key attributes of skilled instructional leaders;

2) describe the main differences between weak and effective instructional practices;

3) identify the major sources and findings of research on instruction;

4) know how to assist teachers in utilizing reflective practice;

5) describe their responsibility with school staff to set instructional objectives, develop a data base, identify staff development needs, implement desired changes, and evaluate program effectiveness;

6) describe the implications of learning style for instructional design and staff development;

7) identify classroom strategies that respond to various student learning styles;

8) describe the major forms of school scheduling and organizational structures and their relationship to programmatic effects and potential learner outcomes;

9) conduct an exercise in school scheduling or organizational structure with real data;

10) explain the relationships among instructional objectives, scheduling (or structure), and teaching strategies;

11) identify several current teaching models;

12) understand the principles of measurement and evaluation, including alternative approaches to evaluation (e.g., portfolios) and their application to various instructional settings;

13) analyze test data, explain their implications to teachers and lay persons, and link them to school improvement programs;

14) discuss a variety of supervisory techniques and describe their application to teachers in various stages of career development;

15) describe various models of observation and identify ways to ensure their reliability;

16) identify several elements of school culture that support teaching and learning;

17) relate various grouping practices and technological initiatives to desired student outcomes;

18) outline a change process to improve student outcomes;

19) analyze relationships between school plant and instructional programs and suggest steps to modify a traditional facility to improve the learning environment and faculty collegiality;

20) apply critical pedagogy to three disparate socioeconomic settings;

21) describe several staffing patterns and their relationship to various instructional practices; and

22) design a budget process with staff that reflects school priorities for the instructional program.

EDUCATION AND TRAINING

Education and training for developing expertise in instruction and the learning environment touch upon each of the subject areas listed in the knowledge and skills section above. (See pp. 8-31 to 8-36 for references on knowledge and skills.)

RESEARCH

The most appropriate training for this area is to have trainees read and critique, with guidance, various types of research. Several good sources include the "Pygmalion studies" (*Pygmalion in the Classroom,* Rosenthal & Jacobson [1968], with a critique by Elashoff & Snow [1971]).

LEARNING STYLES

All well validated learning style models offer training workshops and "how-to" handbooks to help principals gain the knowledge and skills to assess student style strengths and preferences. Trainees should attend one or more of these training sessions, diagnose their own personal style tendencies (as a reflective self-awareness exercise), and read relevant selections from the references list provided at the end of this section.

INSTRUCTIONAL APPLICATIONS

Numerous training opportunities are available on perceptual, affective, physiological, and environmental style matching. Cognitive skill training is not yet widely available but can be obtained through a few university or professional association programs. Handbooks and videos that present various training strategies and approaches to style-based instruction are available from the Learning Styles Network. Members include St. John's University, the Association for Supervision and Curriculum Development, the National Association of Secondary School Principals, the National Association of Elementary School Principals, the University of Vermont, East Texas State University, Excel Corporation, and other agencies.

SCHEDULING AND ORGANIZATIONAL STRUCTURES

The best way for trainees to learn scheduling or student grouping is to do it. Working from information about a hypothetical school, they could use computer simulations and a variety of scheduling "packages" to identify programs that emphasize certain teaching modalities and curricular themes. In the process, trainees would have to resolve typical "conflicts" and produce a final master schedule or student grouping plan that meets all basic design criteria.

TEACHING MODELS

Perhaps the most appropriate way to assess the competence of trainees is to show videotapes of various teachers in action. Trainees would then respond in writing to what they have seen. Responses also can be elicited via interactive videos.

ASSESSMENT AND DATA UTILIZATION

Trainees should have an understanding of the basic principles of tests and measurements and the critical assumptions that support them. In addition, they should be familiar with the history of test utilization and interpretation and the ways in which tests and measurements can be applied to a variety of instructional settings and situations. To achieve this, trainees should read about the history of test development in the United States. In addition, they should be given some simulated data and shown how to disaggregate and draw inferences from it so that they can begin to formulate strategies for improving teaching.

SUPERVISORY TECHNIQUES

Trainees can be given videos or written descriptions of several teachers and asked to identify the most appropriate model of supervision, given each teacher's development stage. They then would be asked to describe how this information would be explained to each teacher.

TEACHER EVALUATION

Training in this area should consist of readings or films about typical weaknesses in most classroom observational systems. It also should include discussions and examples of how to improve their validity and reliability.

In addition, trainees could be asked to critique various formative or summative documents designed to improve classroom instruction and to use a case study to construct a data base that could be used successfully in a dismissal hearing before an arbitrator or judge.

SCHOOL CULTURE FOR LEARNING

Case studies and scenarios can be used with trainees to discuss whether or not the school's priorities and programs enhance or diminish its culture for learning. Trainees can then propose initiatives that might be useful to improve the learning environment, ranging from technologies to developing strong systems of recognition and affiliation. Also, 5 minute video "snapshots" could be shown with discussion following each of several successive showings as the culture of the school unfolds. Highly effective would be an interactive computer exercise that allows participants to begin with a "neutral" school environment and then take initiatives from a menu of actions that could enhance or diminish the quality of the learning environment.

USING SCHOOL FACILITIES

School buildings reflect assumptions and ideas regarding what goes on in them. Accordingly, the training content for this area should present a historical overview of school design, from the earliest Lancastrian buildings to those that incorporate flexible scheduling and organizational concepts.

Trainees should be asked to critique a specific school design. They then could be asked to plan a school from scratch (incorporating a specific "philosophy" in the process) or to redesign an existing facility (to accommodate a given "philosophy").

CRITICAL PEDAGOGY

Educators can be "blind" to how schools really work, particularly with lower socioeconomic children. Accordingly, the ideal training in this area would be for trainees to hear lectures or review readings regarding critical pedagogy, after which they would tour live schools as visitors with "fresh eyes." The effect of this exercise also could be produced from a well constructed set of 35-mm slides or from videotapes of live schools.

EFFECTIVE STAFFING PATTERNS

Preservice and ongoing in-service programs should review the historical derivation of existing school roles and how the principalship evolved over the years. Trainees would learn that the early duties of principals were entirely bureaucratic and administrative and that existing models have tended to perpetuate a division of labor within bureaucratic traditions.

School staffing patterns, however, should be organized around four operational principles to enhance academic productivity. They are:

1) making curricular and instructional decisions at the lowest possible level (preferably in the classroom);

2) breaking large schools down into smaller units staffed by teaching teams that work with groups of identified students;

3) using class schedules and student groupings that provide the greatest amount of uninterrupted learning time for students; and

4) involving parents and teachers in the shaping of building goals, budget priorities, and school climate.

BUDGETING RESOURCES

The specific practices of resource allocation can be taught in seminar format using computer applications. The critical linkage is a curricular-programmatic locus connected to the budgetary format. Because school site budgeting requires the involvement of staff committees or department chairs, trainees must know how to involve others in the process. Accordingly, they can be asked to create a set of specifications for major budgetary formats, including traditional line-item, programmatic, and zero-based budgeting.

MEASUREMENT PROCEDURES

Expertise in instruction and the learning environment can be measured in each of the subject areas listed in the knowledge and skills section above.

RESEARCH

The trainees' skills can be appraised reasonably well on objective tests. Trainees also should be assigned applied projects and case studies to assess how well they apply research to planned field experiences.

LEARNING STYLES

Basic knowledge of learning styles can be assessed by paper and pencil tests in various formats; application of that knowledge can be measured via essay exams. Trainees also can be asked to respond to visual data. For example, they can be shown a photo of rows of student seats and asked, "How would knowledge of learning style alter this picture?" They should be able to suggest at least two alternative seating formations.

INSTRUCTIONAL APPLICATIONS

Performance evaluation scenarios should be used that require trainees to evaluate the strengths and weaknesses of individual student styles. In addition, trainees should propose appropriate augmentation activities for cognitive deficits as well as flexible learning arrangements to accommodate differing perceptual responses and study/instructional practices.

SCHEDULING AND ORGANIZATIONAL STRUCTURES

Knowledge of various types of schedules and student groupings and their strengths and weaknesses can be assessed using a variety of objective measures. In addition, trainees can be asked to apply these strategies to hypothetical student populations. Effective application of these strategies would be measured according to whether or not desired curricular approaches and learner outcomes result.

TEACHING MODELS

Knowledge of various teaching models and styles is best assessed by having trainees—individually or as a group—view and analyze films or tapes of teachers against a menu of models and styles.

ASSESSMENT AND DATA UTILIZATION

Trainees can be given essay questions on the general development of testing in the United States. In addition, they could be given simulated data from a variety of tests (norm-referenced and criterion-referenced) and asked to indicate how to disaggregate the data and link it to school and teacher work activities.

SUPERVISORY TECHNIQUES

Trainees could be provided with written descriptions of teachers or asked to view a videotape of several teachers. They then would be asked to describe the developmental career stages of the teachers and to suggest at least five ways to stimulate their professional growth. Trainees also could be asked to conduct a "model" conference with a teacher who had been observed in a role-playing scenario that was critiqued by three observers.

TEACHER EVALUATION

Measurement can be made with a paper and pencil test. Trainees would be provided with examples of typical classroom observation forms and asked to list strengths and weaknesses. They also would be provided with a rewritten and improved form. In addition, trainees could be asked to view a videotape of a principal being cross-examined in a dismissal hearing. They then would be asked to list the fallacies and weaknesses of the evaluation system the principal used.

SCHOOL CULTURE FOR LEARNING

Trainees should be asked to state their approach to school-site management and how they would apply technology, grouping modalities, and teaching techniques to optimize pupil achievement. Their approach should integrate and be based on generally accepted concepts of effective schools research.

USING SCHOOL FACILITIES

To assess knowledge in this area, trainees should be asked to explain the relationship between pedagogical assumptions and building design. In addition, trainees should be provided with a building plan and asked to enumerate the dominant assumptions it makes about pedagogy, power, control, and culture. Trainees also could be given a written description of educational program specifications and asked to translate them via spatial relationships in a preliminary building design.

CRITICAL PEDAGOGY

Paper and pencil tests can be used to assess the trainees' knowledge of the basic concepts of critical pedagogy; essay questions can be used to measure the trainees' application and synthesis of major ideas. Trainees also could be given a school tour—or asked to view a video or slide presentation—after which they would be asked to identify the pedagogic practices they observed, which were teaching the "informal" curriculum in that school.

EFFECTIVE STAFFING PATTERNS

General essay questions or paper and pencil tests can be used to assess the trainees' understanding of the historical derivation of roles in schools. In addition, trainees could be asked to "sketch out" role possibilities based on different aspects of instruction similar to English's "A School for 2088." Trainees also could develop an "ideas" portfolio of new staff roles and patterns based on a variety of specifications.

BUDGETING RESOURCES

Using paper and pencil tests, trainees can be assessed on their ability to use information for a hypothetical school to design a budget process that involves staff and meets instructional objectives. The trainees' budgets can be presented to—and assessed by—the group; or, trainees can put together a budget portfolio, which would be assessed by their peers and/or trainers.

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CURRICULUM DESIGN

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CURRICULUM DESIGN

DEFINITION

Curriculum Design: Understanding major curriculum design models; interpreting school district curricula; initiating needs analyses; planning and implementing with staff a framework for instruction; aligning curriculum with anticipated outcomes; monitoring social and technological developments as they affect curriculum; adjusting content as needs and conditions change.

In a 1974 National Society for the Study of Education publication, Eisner and Vallance noted that "American education today, perhaps more than in the past, is studded with a variety of conflicting conceptions of the goals, content, and organization of curriculum." Nearly two decades later, confusion over the term *curriculum* continues (Jackson, 1992, p. 1).

Part of the confusion lies with writers who want to expand the word's meaning. Traditionally, curriculum refers to the courses of study found within a school. Hamilton (1989) traces the derivation of the word to 1582 and the University of Leiden, where curriculum was used to strengthen institutional order and discipline by controlling the structure of courses of study. Such institutional control, in fact, had been underway for centuries. One watershed event occurred as early as 1213, when Pope Innocent III ruled that university professors—not church officials—were the experts who could license teachers via exam (Hoskin, 1990). From that time, curriculum emerged as the institutional means to cement the relationship between power and knowledge within the setting of a formal classroom. It remains the case today, even though "the rise and dominance of policy, management, and assessment" is shifting institutional control of education to the state (Bernstein, 1990, p. 163).

Curriculum, therefore, includes not only the content of what should be taught, but also the institutional environment in which it is delivered. For this reason early American curriculum writers—notably Dewey and Bobbitt—defined curriculum as being more than courses of study. Dewey's definition included incidental student experiences at school; Bobbitt's included student experiences outside of school (Jackson, 1992). Later American curriculum writers like Overly (1970) referred to these unintended effects as "the unstudied curriculum." Dreeben (1976) labeled them "unwritten curriculum"; Jackson (1968) called them the "hidden curriculum"; and Aronowitz and Giroux (1985) named them "structured silences."

The idea of incidental, unintended, hidden curricula has taken modern curriculum theory beyond the principles of Tyler (1949) and Taba (1962), whom most present-day curriculum theorists consider to be only partially correct (Kliebard, 1975; Cherryholmes, 1988).

Tyler believed that the rationale for any curriculum rests in answers to four questions:

1) What educational purposes should the school seek to attain?
2) How can learning experiences be selected that are likely to be useful in attaining these objectives?
3) How can learning experiences be organized for effective instruction?
4) How can the effectiveness of learning experiences be evaluated?

Taba's rationale asked six questions:

1) What does the curriculum consist of?
2) What are the chief elements of the curriculum and what principles govern their selection and use?
3) What should the relationships be among these elements and supporting principles and what criteria determine them?
4) What problems and issues are involved in organizing a curriculum and what criteria determine this?
5) What is the relationship of a curriculum design to the administrative conditions under which it functions?
6) What is the order of making curriculum decisions and what criteria are used to translate sources into these decisions?

Contemporary theorists believe curriculum should extend beyond schools to the larger society as it is *and* as it could be. More specifically, they find that Tyler and Taba's organizing points are oblivious to the fact that learning experiences, as interactions between teachers and students or among students, cannot be a priori stated because they are emergent and fluid. Furthermore, the derivation of objectives from the larger society assumes that existing social relations are appropriate. Because objectives derived from sociopolitical relations reinforce the status quo, Tyler's rationale fails to see curriculum as a vehicle for change.

Cherryholmes (1988) criticizes Tyler and Taba for basing their theories on structural linguistics, that is, the notion that the structure of language is unchanging and, therefore, its elements are understandable in terms of their relationship to one another. Language is not permanent, however, and as it shifts, it undermines the logic supporting the distinctions underlying Tyler's and Taba's questions. This view signals that the intellectual basis of curriculum theory has moved into poststructural thinking.

In addition, Cherryholmes (1988) indicates that Tyler's rationale does not put teachers and students at the heart of the educational process. Accordingly, it provides a false picture of curriculum construction by presenting it as a neutral, rather than value-centered and value-selective, activity.

LITERATURE REVIEW

An understanding of curriculum, broadly conceived, is the heart and soul of school administration. It includes a knowledge of appropriate, challenging, and contemporary courses of study, as well as a clear view of the institutional, social, ethical, political, and moral contexts in which teachers and students interact. Corporate leadership models when applied to schools often fail to touch upon the unique dimensions of a principal's responsibility for curriculum that are truly educational, not merely vocational.

Callahan's (1962) classic book, *Education and the Cult of Efficiency,* documents the loss of curricular leadership by school administrators after the turn of the century, when efficiency—rather than student learning from comprehensive, validated curricula—became the standard of success. To recover from this loss, today's principals must be schooled in the humanities and social sciences to broaden their perspective and to ascertain what endures and what does not (English, 1992a). In addition, they must ensure that curricula undergo needs assessments and reviews and that pupils, parents, teachers, and taxpayers become valued partners in determining curricular outcomes.

The role of principals in curriculum design is complementary to their role as instructional leaders. Even as teachers undertake the primary tasks of curriculum design, development, and implementation, principals must provide direction, resources, and support. Accordingly, principals must be knowledgeable about:

- curriculum theory;
- the history of curriculum; and
- curriculum quality control—not just efficiency measures or mechanisms but indicators of effectiveness (i.e., the extent to which outcomes are realized, in whole or in part).

The formal study of curriculum design evolved during the first two decades of the 20th century. Pratt (1980) notes that the child study movement, which was stimulated by the emerging field of psychology, emphasized the needs of the developing child. Thorndike and other psychologists discredited the traditional theory of mental discipline by using systematic experimental studies, ushering in the era of behaviorism. Efficiency experts like Taylor (1911) urged the careful use of time in instruction and learning. Early curriculum scholars strove to create an efficient technique for this "new" science.

Pioneer curriculum books like Dewey's *The Child and the Curriculum* (1902), Bowsher's *The Absolute Curriculum* (1900), and Weet's *The Curriculum in Elementary Education* (1901) were formalized attempts to create a field of study. However, it was Bobbitt's *The Curriculum* (1918) that captured the times. Bobbitt's ideas called for a study of society and the unmet needs of its people as the basis for schooling. His model was roundly criticized by Bode (1927), who said that it rested on the idea that society was static. Rugg and colleagues (1926) of Columbia University's Teachers College advocated a broader social vision than Bobbitt's and a collaboration among educational specialists and practitioners in curriculum design. *The Foundations and Technique of Curriculum Construction,* published in 1926 by the National Society for the Study of Education, articulated the views of a 12-man committee including Rugg and Bobbitt on the nature of curriculum planning.

During the Great Depression and World War II, the field underwent little change. The Progressive Education Association acted as a forum for discussion during the 1930s, culminating in the monumental Eight-Year Study directed by Tyler, which showed that different curricula could be equally successful in preparing students for college. The study had little impact, however, because it was published in 1941, the year the United States entered World War II.

Tyler's 1949 book *Basic Principles of Curriculum and Instruction* synthesized current thinking but plowed little new ground. The same is true of the works of Smith, Stanley, and Shores (1957) and Taba (1962). In the meantime, experimental psychology continued to exert an important influence on the field, particularly Skinner's (1960) work on programmed learning. Mager's (1962) book on instructional objectives reinforced behaviorist theory and led to an extended application of—and debate on—the use of behavioral objectives.

In 1957, launch of Sputnik propelled new educational reforms. Within a year, major congressional legislation poured millions of dollars into schools via the National Defense Education Act, which upgraded science, math, foreign language, and technology curricula. Bruner (1962) urged at a National Academy of Sciences conference that all students be taught "the structure of the disciplines." National curriculum committees, especially in the sciences and mathematics, created an avalanche of new materials that relied primarily on the work of academics and scientists to make curricula "teacher-proof."

By the mid-1960s, educators began to buck the trend due to the influence of Piagetian developmental psychology and the work of innovators like Goodlad (1958) and Trump and Baynham (1961). By 1969, Schwab was urging curriculum designers to get back in touch with school practices. Bloom (1976) summarized this newer thinking in *Human Characteristics and School Learning*. Here, he demonstrated that virtually all students can learn effectively given the proper learning conditions and time frame. Student-centered curricula were pioneered in the "mastery learning" and "effective schools" literature that followed.

By the early 1980s, the emphasis had shifted away from strict behaviorist experimentalism to developmental and cognitive learning models. Brookover's (1980) and Edmonds' (1979) work on school improvement in urban settings set the stage for recognizing that school curricula and instructional programs are embedded in the community and culture, and that individuals and social groups acquire and use information differently. Concepts such as "cognitive thinking skills" and "learning style" grew in importance; so, too, did the need to relate curriculum development to success in school and in life (Dunn & Dunn, 1978; Keefe, 1979; Molnar & Zahorik, 1977). In 1983, *A Nation at Risk* brought new energy to the discussion, and works by Goodlad (1984) and Sizer (1984) explored the dilemmas of schooling and offered some curricular and instructional alternatives.

Thus, by refuting the notion that traditional school classrooms are the sole setting for learning, the scene was set for the current interest in restructuring.

Efforts to break away from old structures are difficult (Hill, 1992) and perhaps conceptualized inaccurately (Larson, 1992). Recently, curriculum research has been freed from the constraints of logical positivism and behaviorism (Walker, 1992). The result has been a growing acceptance of qualitative methods (e.g., case studies, historical studies, philosophical studies, etc.) once deemed unacceptable for "hard scientific" study by the most prestigious, professional journals. Such developments give today's principals a wide range of research methods to draw on, including case studies and historical studies. Accordingly, they must become familiar with various methodologies so that they can efficiently and effectively interpret and apply the research now being produced.

THE INTEGRATIVE MODEL

At present no single conception of curriculum holds sway; rather, an eclectic blend of behaviorism, cognitive psychology, and structuralism influences the program of studies offered by schools. In fact, certain Cartesian assumptions about the world remain glued to school scheduling practices (English, 1992b), in that schools seem to have suspended courses about which they are not absolutely certain.

In traditional settings, many principals do little more than oversee the implementation of curricula that have been developed by commercial publishers, state education departments, and other external bodies. Although most state initiatives operate according to this model, little real change in school effectiveness and student achievement is likely to occur from it. This is especially true in districts where large numbers of students come from socioeconomic classes whose norms differ from those of the majority culture.

In progressive settings, local school staffs engage in reflective and critical analysis to redesign curricula for their unique groups of students. This process engenders change, but requires strong leadership based on a thorough understanding of curriculum theory and practice from a historical perspective.

To reach this level of leadership, the following three components are required:

1) *Content Knowledge:* Principals must be formally educated in at least one or two areas of curriculum to understand the structure of a curricular discipline. This expertise helps principals avoid curriculum fads and recognize more enduring issues concerning student learning (English & Hill, 1990).

2) *General Curriculum Knowledge:* Principals must understand curriculum as a field of study. They must be knowledgeable about the controversies involving curriculum issues, and they should develop appropriate responses when conflicts and disagreements inevitably arise (Kliebard, 1986; Tanner & Tanner, 1990; Klein, 1989).

3) *Curriculum and School Knowledge:* Principals must understand the interrelationship among curricula, school organization, and society. They must be master generalists

who can relate school operations to desired curricular outcomes (English, 1987a).

THE CURRICULUM INTEGRATION MODEL

The model in Fig. 9-1 provides a conceptual framework for relating a principal's efforts and actions to improved school effectiveness (English, 1987b). As such, it reflects Walker's (1992) characterization of curriculum:

> I take curriculum to be a field of practice, primarily. Fundamentally curriculum work consists of the delivery of certain services and the resolution of certain kinds of problems that arise in schools and the agencies associated with schools. Specifically, curriculum work is concerned with services and problems related to the purposes and content of the educational program of the school and how these are organized in time, in relation to one another, and in relation to the people involved and to the physical and social milieu. The primary problems of the curriculum, then, are practical in the root sense of being capable of being resolved only through taking action in the situation (p. 109).

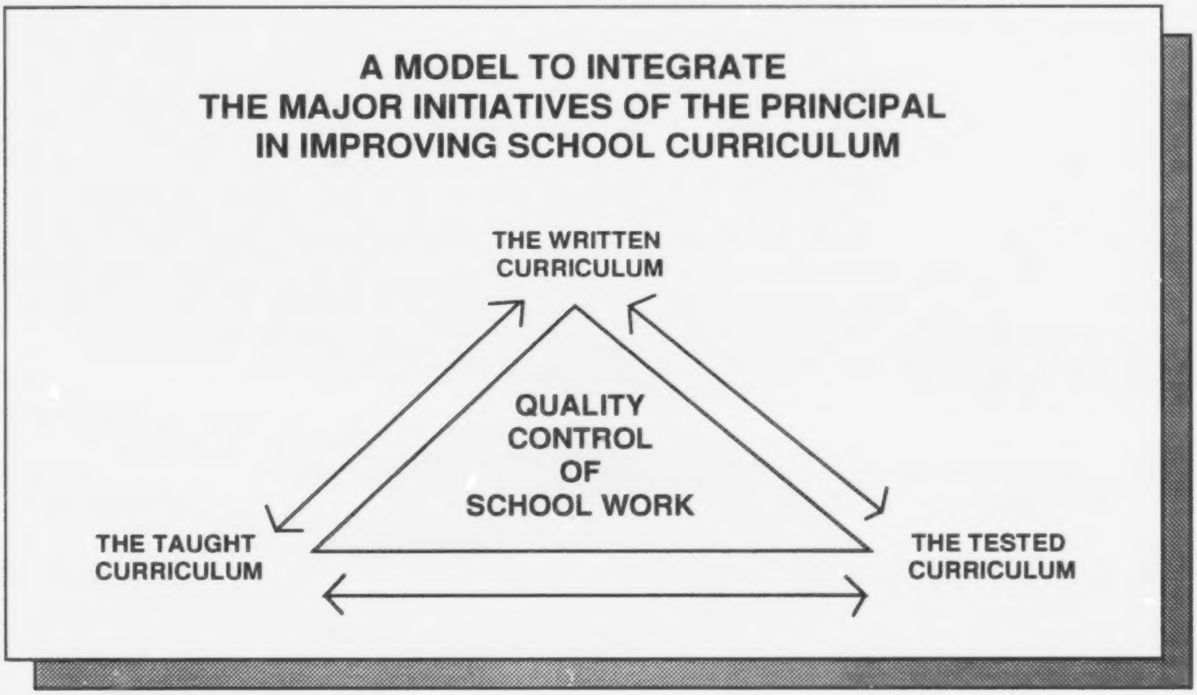

A MODEL TO INTEGRATE
THE MAJOR INITIATIVES OF THE PRINCIPAL
IN IMPROVING SCHOOL CURRICULUM
THE WRITTEN CURRICULUM
QUALITY CONTROL OF SCHOOL WORK
THE TAUGHT CURRICULUM
THE TESTED CURRICULUM

Fig. 9-1

The model is influenced by much of the "effective schools" literature on organizational effectiveness and by alternative curriculum conceptions and design (Klein, 1986). It can be entered from any direction and is contextually grounded; that is, it is relational (it includes and involves crucial stakeholder groups, be they students, teachers, curriculum designers, testing personnel, etc.), transactional (or interactive), and interdependent (English, 1988). At its center is quality control: the alignment of the written curriculum, taught curriculum, and tested curriculum.

The model is not content free; it includes but does not preclude the aims and biases of various groups. Further, the relationships among the written, taught, and tested curricula can be tightened or loosened, depending on the situation and the outcomes desired. For example, if the written curriculum is being developed by policymakers who want to produce cheap labor, the model can be tightened to enable schools to attain that objective. If, on the other hand, the written curriculum is being developed by policy makers who want to produce critical thinkers, the model can be loosened or refocused.

The model is grounded in the context, meanings, values, and desires of the people who put it to use. It will reinforce the status quo as long as there is no change in the outcomes desired. It cannot be considered neutral if change is desired in existing socioeconomic relationships, for example.

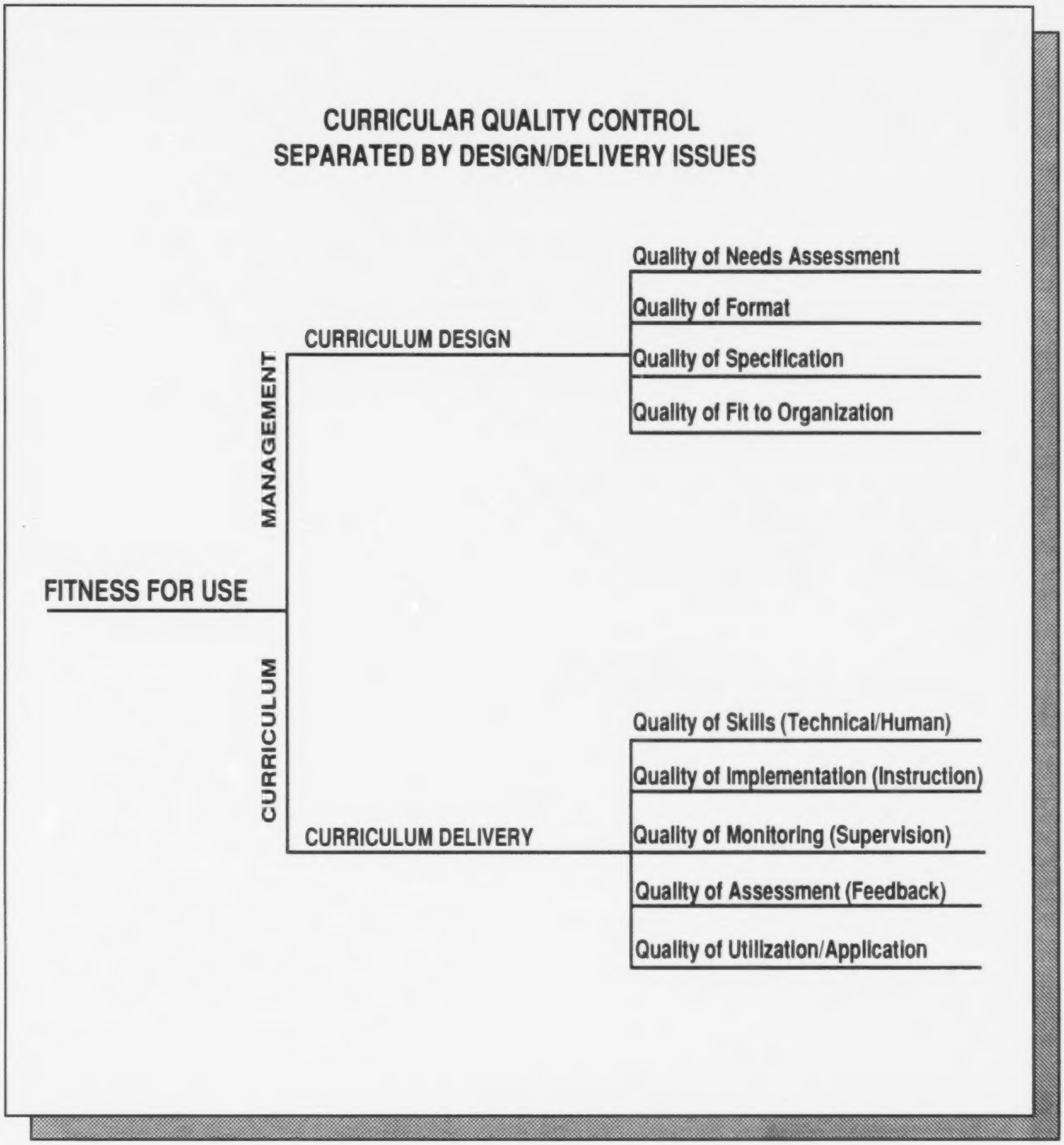
Figure 9-2 presents a model that lists indicators of improved quality control (English, 1987a) and identifies which indicators are associated with curricular design and with curricular delivery. The model integrates most aspects of school leadership for the entire curriculum domain.

According to the model, "fitness for use" means quality control (Juran, 1974) and is defined by those who are involved with and influenced by written, taught, and tested curricula. These include policymakers, administrators, teachers, parents, citizens, and students, among others.

Curriculum design refers to the quality of needs assessment and the specifications by which curricula are shaped. It also refers to the development of appropriate and "user-friendly" curricula formats, and the extent to which curricula align with and meet desired school outcomes.

Curriculum delivery refers to the quality of skills among teachers and the interaction between teachers and the curriculum through instruction. It also refers to the quality of supervision (be it collegial, clinical, democratic, etc.), the type of assessments used to evaluate student learning, and the utilization of assessment results to influence future practices and applications.

Curriculum design and delivery comprise curriculum management, whose use and determination of success and propriety is "fitness for use." In an ideal situation, "fitness for use" means a strategy to



CURRICULAR QUALITY CONTROL
SEPARATED BY DESIGN/DELIVERY ISSUES

FITNESS FOR USE
MANAGEMENT
CURRICULUM
CURRICULUM DESIGN
Quality of Needs Assessment
Quality of Format
Quality of Specification
Quality of Fit to Organization
CURRICULUM DELIVERY
Quality of Skills (Technical/Human)
Quality of Implementation (Instruction)
Quality of Monitoring (Supervision)
Quality of Assessment (Feedback)
Quality of Utilization/Application

Fig. 9-2

empower those determining such fitness to decide on the curriculum's propriety based on their own aims and goals.

KNOWLEDGE AND SKILLS

To be effective leaders in curriculum design, development, and implementation, principals must be proficient in the knowledge and skill areas discussed below.

CURRICULUM DESIGN ORGANIZATIONAL MODELS

Curricular designs are a means to an end; they are the "form" that follows "function," or the desired outcome. Accordingly, principals must know various curricular design organizational models (core, integrated, fused, block, multidisciplinary, etc.) and those that are most appropriate for reaching specific curricular objectives. Sometimes, these objectives require that a multidisciplinary approach be taken.

Curricular designs also must respond to and reflect various student grouping patterns and scheduling formats according to the objectives sought. For example, in elementary schools, ad hoc homogeneous grouping within classrooms purports to narrow the range of cognitive differences among students, enabling teachers to focus on specific academic goals; in secondary schools, a "block" curricular design is usually a double period of one to three subject disciplines. Principals should have a thorough grounding in these forms so that they can select, modify, and evaluate their use.

Effective behaviors of principals include:

- recognizing the factors that require different curricular forms and relating these forms to scheduling options or student groupings; and
- being able to explain the generic strengths and weaknesses of each of the major curricular design/organizational models.

Ineffective behaviors of principals include:

- being unable to differentiate between multidisciplinary or single disciplinary objectives or applications; and
- being unable to determine organizational structures to support curriculum design.

GENERAL KNOWLEDGE OF MAJOR CURRICULUM DEVELOPMENT CONCEPTS

Most of the curricular options being debated nationally have been around for a long time. It is important, therefore, for principals to have knowledge of the major ideas and controversies involving curriculum to differentiate among trends, fads, and long-term problems and issues. The history of U.S. education suggests that these trends, fads, problems, and issues are cyclical.

Curriculum trends and counter-trends are seldom neat and compartmentalized, affected as they are by the decentralized nature of American schools. Debates about curriculum sometimes produce different responses, region by region and decade by decade. But familiar issues and proposals reoccur over the years as curricula are examined. Therefore, a long-term broad perspective of developments in curriculum, and of recurring debates concerning these developments, is important for an understanding of their respective benefits and limitations. Seldom should they be viewed as entirely new notions unfettered by experience.

Effective behaviors of principals include:

- identifying the major concepts, forces, and issues in curriculum development; and
- understanding the results of major past and present curricular movements and controversies.

Ineffective behaviors of principals include:

- being unable to identify similarities between contemporary curriculum controversies and those in the past; and
- being unable to identify cyclical trends in curriculum development or the controversies associated with them.

GENERAL KNOWLEDGE OF MAJOR SUBJECT CONTENT TRENDS

Curriculum content has received major attention from various critics. This is especially true today as U.S. schools are being criticized for being less productive than schools in other countries. As principals listen to the calls for curriculum improvement, they need to be aware of changes that are occurring in major subject disciplines. Many of these changes will require additional resources and will have to be explained to the public. It is imperative, therefore, that principals understand the ideas and arguments that drive these changes and how they relate to their school's overall curriculum.

Effective behaviors of principals include:

- citing major curriculum trends in at least five subject areas including the fine and practical arts and the reasons they have occurred;
- identifying patterns within trends and across disciplines;
- critically evaluating trends in at least five curricular areas, including the arts; and
- explaining how trends affect student learning (Eisner, 1985).

Ineffective behaviors of principals include:

- not being aware of major trends occurring within subject areas.

DIFFERENCES AMONG FORMAL, INFORMAL, AND HIDDEN CURRICULA

Every school has an informal as well as formal curriculum. The informal curriculum consists of the norms and mores that affect student behavior beyond the planned program. Although not part of the official curriculum, the informal curriculum often has a powerful effect on the formal one.

In addition, every school has a "hidden" curriculum, which consists of cultural values that are communicated unconsciously. These include viewpoints on respecting "personal space," recognizing authority, expectations for students, adhering to schedules, etc. Current research reveals that an understanding of the hidden curricula can unlock the potential of schools to help students of various socioeconomic groups to overcome the status quo (Klein, 1989).

By learning to integrate these three curricula—formal, informal, and hidden—principals can shape instructional programs that together are more powerful than any one curriculum on its own.

Effective behaviors of principals include:

- identifying and consciously recognizing the influence of the formal, informal, and hidden curricula; and
- integrating all three curricular influences.

Ineffective behaviors of principals include:

- viewing the formal curriculum as the only one of importance and/or ignoring the other two.

MAPPING TAUGHT CURRICULUM TO REVISE WRITTEN CURRICULUM

Modifications to instructional programs must take into account the significant differences that often exist between formal and taught curricula. Mapping is the process by which taught curriculum is assessed and the resulting data are used for improvement efforts. Accordingly, principals must know how to apply the various forms of curriculum mapping to myriad disciplines and how to use mapping data to develop and improve instructional programs further.

Effective behaviors of principals include:

- knowing all of the spacial and temporal dimensions of curriculum mapping (content, time, sequence) and how to devise forms and procedures for collecting data for each;

- knowing how to interpret mapping data descriptively and prescriptively;
- using mapping data to develop prescriptions for improving curricular focus; and
- understanding the human dimensions of mapping and the need—if necessary—for confidentiality.

Ineffective behaviors of principals include:

- using only the curriculum guide as a reference point for revising curricula; and
- not knowing how to assess taught curriculum.

CURRICULUM ALIGNMENT

Curriculum alignment is an old concept involving transfer theory and cueing. It enables principals to align curriculum with textbooks and tests and, thereby, to maximize the effects of specific tests. In addition, it allows principals to understand the ethical and conceptual issues involved in alignment so that unethical practices can be avoided. Curriculum alignment attempts to focus curriculum development on the content of what is being tested to ensure that socioeconomic status or other factors will not determine test results. As such, it relates to the effective schools research base and to economic studies of education.

Effective behaviors of principals include:

- understanding the uses of curriculum alignment and the issues involved in its application (e.g., "teaching to the test");
- knowing how and when to use curriculum alignment to improve pupil achievement tests on a variety of instruments;
- knowing how to counteract charges of unethical test preparation of students;
- knowing at least two ways to create alignment; and
- knowing how to provide curriculum balance.

Ineffective behaviors of principals include:

- misunderstanding the issues involved in alignment and the salutary benefits involved;
- not understanding the psychometric assumptions underlying test content construction and validation;
- not understanding that textbook-test alignment is the easiest place to begin the alignment process; and
- perceiving textbook adoption as a separate process from curriculum development.

SELECTING, ADAPTING, OR DEVELOPING ASSESSMENT INSTRUMENTS

Accountability thrusts in many states call for the development of individual school improvement plans that focus on improved student test scores. Many such plans require that principals and their staffs select assessment tools outright, choose optional assessments to supplant those that are state designed, or opt for a combination of each. Principals who choose optional assessments must be able to prove their preferability in order to secure approval for their use. They also must be able to show consistent relationships between both school-developed measures and standardized ones (Wiggins, 1991).

Effective behaviors of principals include:

- knowing how to select, use, and interpret a variety of assessment tools (see also Domain 12, Measurement and Evaluation);
- knowing how to critique an existing battery of tests and explain their content and methodological strengths and weaknesses;
- knowing how to write a prescription for alternative testing forms that can be used to assess outcomes that are not being evaluated by existing testing instruments at their schools;
- understanding the purposes of traditional testing versus authentic assessment;
- being conversant with authentic evaluation processes such as holistic evaluation and portfolio reviews; and
- knowing how to explain to teachers and parents data results and their implications for curriculum development.

Ineffective behaviors of principals include:

- having no knowledge of test construction or validation procedures;
- being unable to critique the adequacies/inadequacies of existing school tests;
- not knowing the basis for current test selection in their schools;
- not knowing how to evaluate various tests and the claims that publishers make about them; and
- being unable to explain findings and implications for program development and improvement.

KNOWLEDGE OF GENERAL TEST DISAGGREGATION PROCEDURES AND APPLICATIONS

An evaluation program dominated by various types of pupil tests requires that principals know how to engage in data disaggregation and how teachers can use these data to improve pupil performance. This is especially important because schools are the individual units of accountability.

Connecting disaggregated data to the written curriculum helps determine future teaching priorities as well as strategies for revising the written curriculum in the school. Although most principals will not have to disaggregate test data, they should know how to work with educators performing this function.

Effective behaviors of principals include:

- understanding the basic steps involved in test data disaggregation and portfolio interpretation and how such information relates to textbooks or curriculum guides for improved instructional planning.

Ineffective behaviors of principals include:

- being unable to interpret computer test printouts or the compilation of student portfolios so that data can be linked with departmental or school objectives; and
- being unable to connect data disaggregation to the curriculum in use at schools.

KNOWLEDGE OF CURRENT NEEDS ASSESSMENT MODELS

Fundamental to framing a curriculum is needs assessment. Current models include perception, gap-based, and outcome-based. Principals must understand the generic steps and problems associated with each in order to use them to construct and validate curriculum plans. Also important is a familiarity with the various techniques of needs assessment, including surveys, Q-sorts, and delphi.

Effective behaviors of principals include:

- understanding the different types of needs assessments and the conditions under which each would be used;
- outlining the basic steps involved in needs assessment for curriculum development; and
- understanding the sequences and techniques involved with each approach.

Ineffective behaviors of principals include:

- confusing a gap-based needs assessment with a perceptual inventory or poll-type process; and
- perceiving needs assessment as a popularity poll of stakeholders.

GENERAL MANAGEMENT PROCEDURES TO IMPROVE QUALITY CONTROL

Principals should know how to be responsive to state mandates that require student achievement gains in selected curricular areas as measured by specific testing instruments. Accordingly, they should have a general knowledge of the critical components of quality control and how their behaviors on a day-to-day basis will make a difference in their schools' performance. In addition, they should be able to tighten or loosen quality control elements to attain learner objectives or to meet externally imposed mandates.

Effective behaviors of principals include:

- constructing required school improvement plans that relate the critical components of curricular quality control and that lead to student improvements; and
- engaging in critiques of state-designed planning guides, noting the necessary linkages that must be present at the local level to improve student achievement.

Ineffective behaviors of principals include:

- being unable to conceptualize positive strategies in response to testing mandates other than "try harder" messages to the staff; and
- being unable to relate curriculum, teaching, and testing in any kind of a workable relationship toward school improvement.

GENERAL PROCEDURES FOR CONSTRUCTING EFFECTIVE CURRICULAR WORK PLANS

Principals are called on to make judgments and recommendations about the kinds of documents that are, or would be, most effective in improving learning. Such documents are called *work plans* because they define, shape, and sequence classroom teaching, which affects student learning.

Work plans can take a number of forms: guides, scope and sequence charts, pacing charts, lesson plans, checklists, teaching and learning objectives, and hierarchies of difficulty. Principals must have a solid grounding in these forms and be familiar with their constants and variables, their strengths and weaknesses, and the various contexts in which they are applied.

Effective behaviors of principals include:

- relating various procedures for constructing curriculum work plans to representative school situations and suggesting those that would most easily lend themselves to staff acceptance and implementation; and
- engaging in creative adaptation of a variety of curricular work plans in the school.

Ineffective behaviors of principals include:

- being unable to differentiate among the kinds of work plans that can exist in a school and what each may do to improve instruction; and
- perceiving that curriculum guides are the only solution to problems that arise in improving curriculum delivery.

CREATING WORKABLE ACTION PLANS AND USER-FRIENDLY PRODUCTS

Principals must be able to translate intentions into work. Accordingly, they must know practical planning strategies that involve staff, parents, and students. In addition, they must know how to develop action plans that are supported by stakeholder groups and are technical enough to provide meaningful direction. (See Domains 5 and 6, Organizational Oversight and Implementation, respectively.)

Effective behaviors of principals include:

- selecting options for the development of action plans that lead to support and action; and
- understanding the steps and constraints of the school change process.

Ineffective behaviors of principals include:

- not knowing how to translate intentions into action plans that are understandable to stakeholder groups and that result in school improvement.

KNOWLEDGE OF EVALUATION MODELS

Documenting the results of change and innovation is one of the most crucial skills of principalship. Principals must have a fundamental grounding in basic evaluation strategies, including curriculum auditing. They also must understand the conditions that enable some models to be more effective than others. In addition, they must ensure that data are gathered in the formative and summative stages of the evaluation process. Only by knowing a variety of evaluation models can principals assess the effectiveness of the written and taught curricula in their schools.

Effective behaviors of principals include:

- relating situational variables to educational contexts when selecting an appropriate evaluation model and justifying their decisions; and
- understanding the "nonexperimental" nature of most school innovation and change.

Ineffective behaviors of principals include:

- confusing evaluation with testing and being unable to explain how nontested effects influence assessed change in schools;
- confusing curriculum auditing with accreditation and being unable to explain the difference;
- overgeneralizing the results of change or innovation beyond the present data base; and
- confusing correlates with predictors of program effectiveness.

PERFORMANCE STANDARDS

After completing this domain, principals should be able to:

1) describe the curriculum as being broader in scope than courses of study;
2) identify major influences on the curriculum;
3) connect curriculum design to instructional objectives;
4) describe the major movements in American curriculum development, and the assumptions upon which they are based;
5) define the role of principals in curriculum design;
6) define the role of principals in curriculum implementation;
7) define the merits and deficiencies of quantitative and qualitative evaluation systems to evaluate curriculum outcomes;
8) define the relationships among curricula, school organization, and society;
9) identify and define the relationships among the written curriculum, the taught curriculum, and the tested curriculum;
10) describe procedures for improving quality control in implementing curricula;
11) relate curriculum design and delivery to curriculum management;
12) describe current trends/issues in several content fields;
13) discuss several curriculum organizational models and the relative merits of each;
14) identify several current curricular issues and their historical antecedents;
15) describe curriculum mapping and its uses;
16) define curriculum alignment and its relationship to curriculum development;
17) analyze several evaluation instruments and describe strengths and deficiencies;

18) interpret the selection and use of a variety of assessment tools;

19) describe how schools can use data disaggregation to improve pupil performance;

20) conduct the basic steps involved in needs assessment; and

21) involve teachers in the design, development, and management of curriculum.

EDUCATION AND TRAINING

Education and training for developing expertise in curriculum design touch on each of the subject areas listed in the knowledge and skills section above.

CURRICULUM DESIGN ORGANIZATIONAL MODELS

The various types of curricular designs (core, integrated, fused, block, multidisciplinary, etc.) can be taught in a variety of formats. These must be combined, however, with various types of scheduling or student grouping options. Trainees, for example, should be able to evaluate and respond to the following questions:

- What kind of schedule or grouping optimizes a multidisciplinary curriculum centered on higher-order cognitive skills?
- What assumptions lie behind each of the various curricular designs that relate to the learner, the teacher, the authority, and the school culture?

One organizational model, found in Adler's (1982) curriculum treatise, *The Paideia Proposal,* features a strong liberal arts content intended for all students. A Paideia schedule or grouping should deliver the common curriculum to every student regardless of interest or inclination. Such a curriculum plan would be centralized in the teaching staff.

Trainees would be provided with a curricular proposal and asked to identify the kind of school culture and climate, schedule, facility, and teaching methodologies that would most likely result if the proposal were implemented.

GENERAL KNOWLEDGE OF MAJOR CURRICULUM DEVELOPMENT CONCEPTS

The literature on the history of U.S. curriculum development and controversy includes several good books that argue the merits of a purely academic curriculum versus a pragmatic one. While common schools have been created based on common curricula, the American public also values diversity. Arguments for and against "commonality" and "diversity," therefore, continue to be echoed in modern times. These arguments can be used in seminars, classes, and independent studies to help trainees delineate trends.

GENERAL KNOWLEDGE OF MAJOR SUBJECT CONTENT TRENDS

Considerable ferment exists in nearly every curricular discipline. Accordingly, trainees need to understand the major issues, trends, and problems that exist in these various areas. This information is available from state and national subject area organizations and curriculum publications.

DIFFERENCES AMONG FORMAL, INFORMAL, AND HIDDEN CURRICULA

Schools share "lived routines" that serve as influential curricula. Most of these lived routines leave traces in the environment. Accordingly, the most powerful way to illustrate the "hidden curriculum" is to show trainees samples of it in photographs and to discuss with them the photographs' meaning.

Through the training process, trainees should be shown the contradictions between the "official" curriculum and the "hidden curriculum." Trainees should have an opportunity to develop an integrated framework for all three forms of curricula. The training content, therefore, should bring about awareness of the hidden curriculum as well as suggesting ways to integrate it with formal and informal curricula.

MAPPING TAUGHT CURRICULUM TO REVISE WRITTEN CURRICULUM

Teaching trainees how to perform mapping should include systematic instruction in coding data, performing basic calculations, and developing accurate narratives from the descriptive-quantitative information. Trainees also should be prepared to work collegially with teachers to create workable prescriptions for instruction.

CURRICULUM ALIGNMENT

Alignment is a technique as well as a philosophy of instruction. As such, it is learned through practice, by working from the curriculum to the test (front loading) and from the test to the curriculum (back loading). Each approach has its advantages and disadvantages.

Trainees should be given a thorough grounding in alignment assumptions and then asked to examine the issues involved in "teaching to the test." Through the training, they should come to understand the conditions under which one "always teaches to the test" and the conditions under which one "never teaches to the test." These issues are related to the utilization of norm-referenced and criterion- referenced tests but are not exclusively confined to either.

SELECTING, ADAPTING, OR DEVELOPING ASSESSMENT INSTRUMENTS

Trainees can acquire knowledge on test measurement and construction through classroom instruction. The more contemporary uses of tests in norm-referenced, criterion-referenced, and authentic assessment modes should be included. (See Domain 12, Measurement and Evaluation.)

KNOWLEDGE OF GENERAL TEST DISAGGREGATION PROCEDURES AND APPLICATIONS

Data disaggregation is an applied skill. Accordingly, trainees should be given explanations and examples of data disaggregation and asked to engage in some simple disaggregation exercises involving lower level competency skills. The key activity here will be having trainees meet with teachers after the exercise is analyzed so that they can develop instructional plans that address gaps in student performance. (See Domain 12, Measurement and Evaluation.)

KNOWLEDGE OF CURRENT NEEDS ASSESSMENT MODELS

The assessment of needs should be conducted as an integral part of the curriculum development cycle. Trainees must be familiar with needs assessment techniques (surveys, Q-sorts, delphi, etc.) and models (perception, gap-based, and outcome-based), which they should be able to apply to real school profiles. This is a critical step in the curricular improvement process. (See Domain 6, Implementation.)

GENERAL MANAGEMENT PROCEDURES TO IMPROVE QUALITY CONTROL

Knowledge of quality control procedures can be assessed by paper and pencil tests. However, applications and adjustments demand the use of simulations that require trainees to search for and find critical quality control linkages in a general curriculum management system.

GENERAL PROCEDURES FOR CONSTRUCTING EFFECTIVE CURRICULAR WORK PLANS

Trainees must know the major forms of curricular work plans (guides, scope and sequence charts, pacing charts, etc.) and what makes one more effective than another in terms of amount of work involved, teacher acceptability, and alignment with school improvement plans. Adapting student knowledge and skills to a problem situation is an effective instructional technique.

CREATING WORKABLE ACTION PLANS AND USER-FRIENDLY PRODUCTS

Moving from data collection and analysis to action plan formation and application is essential to successful school improvement. Effective school leaders, therefore, must generate support for, and elicit participation in, operational programs that strengthen the curriculum. (See Domains 1 and 6, Leadership and Implementation, respectively.) Accordingly, preparation must focus on ways to create opportunities for trainees to practice these applied skills by simulations and role-plays. For example, trainees could analyze several curriculum guides and action plans to determine clarity of purpose and practicality for use. Change process exercises also are useful to develop implementation skills.

KNOWLEDGE OF EVALUATION MODELS

In addition to knowledge about program evaluation, trainees should understand how limited anyone's control usually is of school variables and how this limited control constricts generalizations about results. Accordingly, trainees should be given a variety of hypothetical programs to analyze so that they may come to understand the complex nature of adequate program evaluation. An ideal setting for this training would be an interactive seminar in which the case studies are discussed.

MEASUREMENT PROCEDURES

Competency in curriculum design can be assessed in a variety of ways. The suggestions below correspond to the subject areas outlined in the knowledge and skills section above.

CURRICULUM DESIGN ORGANIZATIONAL MODELS

Using essays or multiple-choice tests, trainees can be asked to identify various types of curricular designs; more implicit assumptions of scheduling or student groupings can be assessed via paper and pencil essay questions.

Another way to assess the trainees' application-synthesis level would be to give them a set of conditions and a generic philosophy from which they would select the most appropriate curricular design and schedule or student groupings. Trainees should be able to describe the selection process in detail, either in writing or before a panel of colleagues.

GENERAL KNOWLEDGE OF MAJOR CURRICULUM DEVELOPMENT CONCEPTS

Through essay tests, trainees should be able to identify and describe the major and historic curricular controversies in American education. Trainees also should be able to differentiate between long-term controversies and short-term fads based on the history of curriculum.

GENERAL KNOWLEDGE OF MAJOR SUBJECT CONTENT TRENDS

The trainees' knowledge of trends in various disciplines can be assessed using objective or essay-type exams. In addition, trainees can benefit from a panel discussion about changes within various disciplines. They also should be able to respond to a case study or engage in a debate on the "pros" or "cons" of these changes.

DIFFERENCES AMONG FORMAL, INFORMAL, AND HIDDEN CURRICULA

Trainees can be provided with photographic artifacts from schools and asked to identify the "hidden curriculum" that is being taught. In addition, using essay tests, trainees can be asked to identify the three types of curriculum (formal, informal, and hidden) and to cite examples of them as they are commonly found in schools. Finally, in a real school or simulated setting, trainees can be asked to point out examples of the "hidden curriculum" that are accepted or aspired to by the school and its teachers.

MAPPING TAUGHT CURRICULUM TO REVISE WRITTEN CURRICULUM

Trainees should be given several mapping problems and asked to perform calculations and accurate data analysis using at least two dimensions (content and time).

CURRICULUM ALIGNMENT

Trainees should be given an ethically embedded hypothetical situation requiring alignment. They then should be asked to explain what course of action and precautions they would take. A paper and pencil or essay test can be used to gauge their responses.

SELECTING, ADAPTING, OR DEVELOPING ASSESSMENT INSTRUMENTS

Knowledge about the construction, norming procedures, validity, and reliability of tests can be assessed in objective or essay tests. To determine an overall approach, trainees should be provided with a hypothetical school scenario and asked to develop an evaluation scheme that addresses the tests already in use and those that would augment the school's evaluation program.

KNOWLEDGE OF GENERAL TEST DISAGGREGATION PROCEDURES AND APPLICATIONS

Knowledge of general procedures is best taught and measured in simulations in which hypothetical test and contextual data are provided and trainees engage in disaggregation and reconnection to existing school curricula. Simulated faculty planning sessions also can be used. These would have trainees role-play the part of teachers who are developing revised instructional plans using disaggregated data.

KNOWLEDGE OF CURRENT NEEDS ASSESSMENT MODELS

After being given a hypothetical school and the objectives desired in a needs assessment, trainees should be asked to match the most appropriate procedure to the context. They then should explain—orally or in a written essay—the general steps involved in its application. In addition, trainees can be given a scrambled written description of the steps of a needs assessment and asked to put the steps in the appropriate order.

GENERAL MANAGEMENT PROCEDURES TO IMPROVE QUALITY CONTROL

After being given case studies and statements regarding curricular quality control, trainees, via written exam, should be able to assess the general prospects for school improvement in the stated contexts. In addition, trainees should be able to make oral presentations on how to improve curricular quality control and student achievement when given data on a hypothetical school.

GENERAL PROCEDURES FOR CONSTRUCTING EFFECTIVE CURRICULAR WORK PLANS

Trainees should be given a series of work-related documents and a hypothetical scenario about a school situation and asked to evaluate critically the expected benefits of using each in the scenario. Trainees also should be able to construct a series of written recommendations pointing out the advantages and disadvantages of each and the contextual variables that would dictate which documents should be implemented before others.

CREATING WORKABLE ACTION PLANS AND USER-FRIENDLY PRODUCTS

In a simulated setting, trainees should be given a variety of school improvement plans and asked to identify the critical assumptions and practices involved in the design and delivery of each. In addition, they should be asked to develop recommendations to improve them.

KNOWLEDGE OF EVALUATION MODELS

Using objective or essay paper and pencil tests, trainees can demonstrate their general knowledge of various evaluation models. In addition, trainee applications should be assessed via simulation and case studies, with groups or individuals summarizing what was learned. Trainees also should demonstrate practical facility in the use of comprehensive management information system software.

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STUDENT GUIDANCE AND DEVELOPMENT

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STUDENT GUIDANCE AND DEVELOPMENT

DEFINITION

Student Guidance and Development: Understanding and accommodating student growth and development; providing for student guidance, counseling, and auxiliary services; utilizing and coordinating community organizations; responding to family needs; enlisting the participation of appropriate people and groups to design and conduct these programs and to connect schooling with plans for adult life; planning for a comprehensive program of student activities.

This domain focuses on student growth and development and on the two school programs designed to facilitate the maturation process: student guidance and student activities. Effective principals understand all three. They have studied the physical, social, emotional, and intellectual development of children and youth, and they can design and implement programs that facilitate student social and personal growth, produce effective interventions, and avoid conflict between individual and institutional goals. The principal's role is key, for he or she is the one who must communicate to colleagues that student development, guidance, and activities are central to the educational program and must be fully integrated with instruction if students are to fulfill their potential. (See also Domain 8, Instruction and the Learning Environment.)

LITERATURE REVIEW

Gibson and Mitchell (1990) define guidance and counseling as interventions that are developed for various purposes and aimed at various individuals and groups to promote growth and development. Student activities also promote personal growth and personality development, even as they provide learning opportunities supplemental to classroom work.

STUDENT GROWTH AND DEVELOPMENT

Individuals pass through numerous developmental stages during the course of their lives. Although the beginnings and endings of these stages vary from one person to the next, they remain identifiable for study and for planning school services. Turner and Helms (1979) describe several growth stages, four of which are of particular interest to this domain. They include early childhood (ages 3-5), middle childhood (ages 6–9), preadolescence (ages 10–12), and adolescence (ages 13–19).

Knowledge of these stages is essential for principals, who must understand the growth and development dimension of children and youth. "They must possess some conception or model of normal development, and they must fully understand patterns of deviation in growth and development" (Wiles & Bondi, 1991, p. 85). Edgemon, Remley, and Snoddy (1985) further emphasize that principals and counselors have common responsibilities and opportunities for using knowledge about student growth and development to create a nurturing environment in their schools.

In response to these identifiable stages, guidance and counseling programs differ at the elementary, middle, and high school levels. The American School Counselors Association noted in a 1981 role statement that elementary school programs should:

- emphasize assistance to teachers to assure that instructional programs contribute to student growth and development;
- pay increased attention to the relationship of school and work in later elementary school years;
- assist parents in understanding child growth and development; and
- assist school staff responsible for special needs programs.

By contrast, middle or junior high schools should:

- assist students in making the transition from elementary school to the secondary school environment;
- increase emphasis on career guidance and related school-work selection; and
- assist teachers interested in providing developmental units or materials in their instruction.

Finally, high schools should:

- assist teachers involved with guidance or curricula interventions;
- assist students making school and career decisions and help them to assess the personal characteristics that affect their choices;
- assist students in understanding and dealing with parental and societal expectations and behaviors; and
- assist students and school officials in developing programs for students who are not benefiting from the regular school environment.

STUDENT GUIDANCE AND COUNSELING

According to Rossow (1990), the purpose of guidance service is "to assist students in their adjustment to school and society and to help them understand their potential as individuals" (p. 140). The guidance program itself should cover several areas: orientation, appraisal, pupil data, and counseling.

Orientation programs must enlist the support of teachers and guidance personnel in providing students and parents with the opportunity to learn about school requirements and offerings. *Appraisal services* administer the school's testing and evaluation program, prepare students for standardized tests, and educate parents on the use of test results. These data are major factors in a principal's curriculum and in-service decisions. (See also Domain 12, Measurement and Evaluation.) *Pupil data* requires collection and storage of voluminous, sensitive data, which must be handled in ways that respect the legal rights of students and parents. These data also must be made available to appropriate school officials and community agencies so that decisions crucial to students can be made. *Counseling services* must respond to new student needs coming from societal pressures and the deterioration of the family and its supporting social institutions.

In addition to the above services, schools also are responsible for providing occupational, educational, and financial aid information (Burtnett, 1991), college planning and placement services (Griggs, 1988), and follow-up services after students leave school so that improvements in the instructional program can be made (Kimbrough & Burkett, 1990).

Gorton and Schneider (1991) believe that effective guidance and counseling programs must be comprehensive and must provide services to several distinct groups. Services geared toward students have been described above. To serve students best, however, teachers, parents, and community agencies must have access to the information and services provided by school guidance personnel. Further, schools and community agencies should integrate their services to improve efficiency and effectiveness (Candoli, 1991).

Principals today increasingly are responsible for coordinating and utilizing community agencies and services on behalf of students and their families. Many of these agencies have the resources to facilitate student growth and development. This is especially important in the case of economically disadvantaged families who need more—and often different kinds of—community and school support than do more affluent families, who can pay for private tutorial and other services. Principals and their personnel, therefore, must be able to assess and secure school and community resources and connect them to the guidance and support needs of their various student and family populations (Herr, 1991).

Griggs (1988) states that effective guidance programs are developmental, preventive, and crisis-oriented. Programs based on student growth and development help resolve age-related concerns. Preventive counseling identifies potential problem areas (e.g., at-risk elementary school students) and appropriate interventions. Crisis-oriented counseling provides intensive individual and group counseling for immediate student problems (e.g., child abuse, drug abuse, or potential suicide.) Individual counseling techniques allow guidance personnel to function as friends and confidantes to individual students and to give them direction and guidance over a period of time (Hughes & Ubben, 1980). Group counseling is particularly advantageous for helping students work together and in providing them with supportive networks for dealing with personal problems (Kimbrough & Burkett, 1990).

Like any other important school function, guidance services are too important to be the sole domain of specialists. Gorton and Schneider (1991) provide an excellent summary of the roles of the school counselor and other specialists, including the school psychologist, the school social worker, and the school nurse. The work of these individuals is effective only when teachers and administrators support it, however. Principals, in particular, must recognize their ultimate responsibility for delivering effective guidance services to students. Toward this end, they must facilitate the work of guidance personnel, ensure that adequate numbers of competent school counselors are available, help teachers and guidance personnel understand one another's roles, communicate the purposes of the guidance program to all individuals and groups, and take the lead in evaluating guidance services (Shertzer & Stone, 1981).

STUDENT ACTIVITIES

Student activities, like guidance services, should be integral to the school's educational program. According to Vornberg (1988), student nonacademic activities add dimensions to academic work not otherwise attainable. Student activities motivate students, develop leadership and other social skills, promote positive self-concepts, and link academic learning with practical skills. In the process, student activities stimulate school spirit, foster regular attendance, and recognize students for their nonacademic talents. Many experienced principals consider activities programs as the "glue" that give students a common bond.

Student activity programs also reflect changes in students as they mature and move through the school system. Elementary school students move beyond the classroom to science fairs and school patrol; middle and junior high school students move beyond the classroom to activities like student government that broaden their awareness; and high school students move beyond the classroom to additional and more complex activities that include athletics, publications, performance groups, service groups, etc.

According to Gorton and Schneider (1991):

> The primary purpose of the student activities program has been and continues to be that of meeting students' school-related interests and needs which are not met—at least not to a sufficient degree—by the curricular program of the school. (p. 486)

Student activities, therefore, can be as important at the elementary and middle school levels as they are during high school. Self-governance experiences, musical activities, and art shows are equally significant for students of all age groups. In fact, given their importance, many activities probably should be introduced at an earlier age (Kimbrough & Burkett, 1990).

Unfortunately, student activities—be they student government, arts programs, or intramural sports—are typically underfunded. Many are not supported by state or local tax funds (Vornberg, 1988), and when budgets are tightened, student activities usually are among the first items cut (Giroux & Hawley, 1991). As a result, fundraising activities are often needed to sustain them. This requires careful planning and oversight to ensure that adequate funds are raised, that costs are commensurate with educational benefits (Giroux & Hawley, 1991), and that funds are handled according to standard accounting procedures (Vornberg, 1988).

Principals should make certain that student activities programs, like other school programs, are evaluated systematically (Giroux & Hawley, 1991). Each should be consistent with school philosophy and have educational objectives that form the basis of their evaluation (Hughes & Ubben, 1980). Principals should consider the organization, administration, and balance of the activities, the extent of student participation, and the support the activities receive from school professionals, parents, and community members (Giroux & Hawley, 1991). Care must be taken to ensure that a small number of activities, such as interscholastic sports and band that may have community-based booster organizations, are not overemphasized. To do so would run counter to school philosophy and would diminish other worthwhile student activities (Kimbrough & Burkett, 1990).

THE PROCESS MODEL

Effective student guidance and development requires connecting four major initiatives involving institutional and community life. These include:

1) determining student and family needs;

2) involving school staff and community organizations;

3) understanding both student growth and the educational program, and their interrelationships; and

4) providing a comprehensive student guidance and activities program designed to meet student and family needs.

These four initiatives flow sequentially, as illustrated in Fig. 10-1. They are interdependent as well, for the lack of any one element weakens the design process as well as the delivery of services.

KNOWLEDGE AND SKILLS

Principals must possess knowledge and skills, and exhibit key behaviors in several critical areas if their schools are to have effective student guidance and development programs. First, principals must have an understanding of program goals and alternative procedures and structures for achieving those goals. Second, because they chiefly act through others to implement and oversee programs, principals must be skilled at working with diverse groups of professionals and community members. Finally, they must communicate to individuals and groups within and outside their schools that student guidance and development concerns are central to the total school program and must be integrated with instruction. (See Domain 16, Oral and Nonverbal Communication.)

KNOWLEDGE

Principals must have a comprehensive knowledge of human growth and development, specifically the physical, mental, social, and emotional maturation of their own students. This knowledge must extend to other age groups so students can be prepared for various transitions in their schooling and for entrance into adult life. Principals also must possess a knowledge of norms and typical

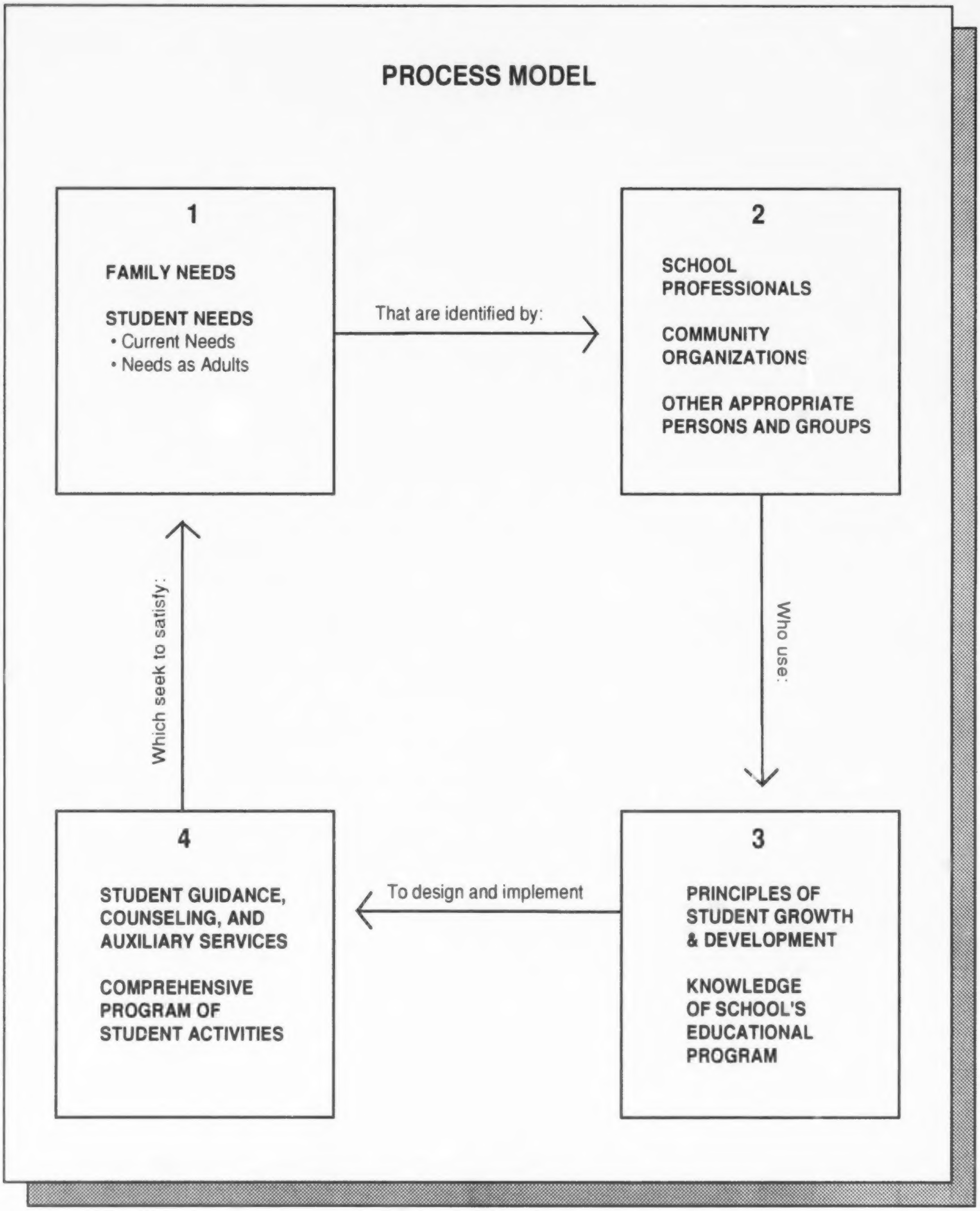
PROCESS MODEL
1
FAMILY NEEDS
STUDENT NEEDS
• Current Needs
• Needs as Adults
That are identified by:
2
SCHOOL PROFESSIONALS
COMMUNITY ORGANIZATIONS
OTHER APPROPRIATE PERSONS AND GROUPS
Who use:
3
PRINCIPLES OF STUDENT GROWTH & DEVELOPMENT
KNOWLEDGE OF SCHOOL'S EDUCATIONAL PROGRAM
To design and implement
4
STUDENT GUIDANCE, COUNSELING, AND AUXILIARY SERVICES
COMPREHENSIVE PROGRAM OF STUDENT ACTIVITIES
Which seek to satisfy:

Fig. 10-1

norm deviations. An awareness of significant differences associated with gender or race or culture is equally important.

In addition, principals must understand their educational programs to interpret the place of the student guidance and development services within it. They also must be knowledgeable about the community, societal, and family needs of their students to assure responsiveness from their guidance and development programs.

Principals must be familiar with the orientation, appraisal information, record keeping, counseling, and placement functions that underlie the school's guidance program. They must possess a general understanding of the purposes and practices of student activities and specific knowledge of pertinent school district policies and procedures, including the handling of activity funds. They also must know what human services are available through community agencies and how these can be integrated with those offered by their schools.

Finally, principals must be knowledgeable of the physical and resource requirements of the guidance and student activities programs and the resources that may be available to support them at the district level or through other means. (See Domain 13, Resource Allocation.)

SKILLS

Principals must have strong interpersonal and organizational skills to enlist the support and cooperation of diverse professionals, citizens, community agencies, parents, and students. They also must have good planning and evaluation skills to design the operation and assess the performance of their student guidance and development programs. In addition, principals must exhibit a commitment to fostering school esprit, recognizing achievements, and keeping abreast of student outlook and interests.

BEHAVIORS

Principals exhibit several key behaviors when developing, implementing, or assessing student guidance and activities programs. These behaviors can be highly effective or ineffective. Examples of each are provided below.

Student Growth and Development: Effective behaviors of principals include:

- expecting and influencing others to expect performances for which students have readiness and ability;
- expecting and requiring others to expect variations in student readiness and ability, even when norms are used as general guidelines;

- challenging students with reasonable expectations;
- recognizing developmental roots in students' behavior; and
- recognizing the strength of youth group mores in mid-adolescence and working to strengthen their beneficial values.

Ineffective behaviors of principals include:

- expecting or allowing others to expect performance for which students do not have readiness or ability; and
- expecting or allowing others to expect homogeneity among students (where individual variations are the norm).

Student Guidance and Counseling: Effective behaviors of principals include:

- recognizing that counseling programs must have a solid rationale if they are to benefit the school's academic function;
- allowing the counseling staff to spend most of their time on duties central to individual counseling or group guidance;
- facilitating interprogram planning so that the work of counselors and teachers is complementary;
- working with the counseling staff to provide a complete array of services to students, their parents, and faculty;
- helping to establish priorities to prevent counselor overload at the expense of quality;
- reflecting an understanding of the basic principles of counseling when working with guidance personnel and faculty;
- arranging for information processes that recognize language and cultural diversity;
- knowing the availability of counseling resources within the school and community and arranging or encouraging their efficient use; and
- protecting the privacy rights of students by establishing appropriate procedures and effective supervision.

Ineffective behaviors of principals include:

- allowing the counseling and instructional programs to develop goals and activities that are incompatible across programs;
- restricting the counseling staff, through intention or neglect, to a narrow range of mandated guidance services;
- encouraging guidance staff to work within the school, ignoring community resources; and
- failing to protect the privacy rights of students through lack of knowledge or careless supervision.

Student Activities: Effective behaviors of principals include:

- using accurate position descriptions and selecting advisors who have appropriate interests and abilities;
- working with staff and a thorough analysis of student needs

and interests to create a comprehensive activities program;
- working with staff and within district guidelines to manage an accounting system for all activity funds;
- working with others to provide appropriate recognition to students and faculty associated with student activities;
- working with others to develop specific objectives for the entire activities program and for individual activity areas;
- offering leadership development activities to elected student officers and other students; and
- providing information to all students about the student activities program and encouraging their participation.

Ineffective behaviors of principals include:

- assigning activity advisors without regard to their interests;
- permitting an activity program to be slanted to the interests and needs of a small segment of the student population;
- allowing advisors and students to handle funds without using a central accounting system; and
- failing to provide appropriate recognition of students and faculty associated with student activities.

PERFORMANCE STANDARDS

Examples of adequate performance by principals in providing leadership for student guidance and development programs are described for each of the three major areas of the domain.

STUDENT GROWTH AND DEVELOPMENT

1) Presented with a sample statement of student responsibilities and associated discipline system, the principal can analyze the document applying basic principles of human growth and development relevant to student age levels.

2) Presented with part of a sample curriculum (e.g., 5th grade social studies), the principal can critique the sample and/or suggest review questions based on basic principles of human growth and development.

3) Presented with a case description of a student with behavior problems, the principal can use basic principles of student growth and development to prepare a set of questions that should be answered before the school takes appropriate action.

4) Presented with a situation involving a faculty member who lacks understanding of the basic principles of student growth and development, the principal can describe an appropriate staff development intervention.

STUDENT GUIDANCE AND COUNSELING

1) Given an inquiry from a teacher who wants to know why counselors do not have the same duty roster as teachers, the principal can use basic counseling principles and practices to explain what counselors do with their time.

2) Given an inquiry from a counselor who wants to know why his/her presence is needed in the entry areas during student arrival times, the principal can use basic counseling principles to explain the need for the counselor's visibility and interaction with students.

3) Given a student who is having difficulties with his parents, the principal can outline supplemental community resources.

4) Given a school with attendance problems, the principal can draft a plan that involves counseling and instructional staff members and integrates classroom and guidance activities to address the problem.

5) Presented with a challenge by the superintendent and the school board during budget approval processes, the principal can develop a cogent defense of counseling and its costs.

6) Faced with the need to find a counselor, the principal can develop a job description that outlines the qualifications and duties of the position.

STUDENT ACTIVITIES

1) As an elementary school principal, is able to describe how school-wide student government can be integrated with instructional and management programs.

2) As a middle school principal, is able to describe the variety of student activities that a typical student population would sponsor during school-time activity periods.

3) As a high school principal, is able to develop a job description for a student activities director serving the needs of a racially diverse student population.

4) Presented with a case involving the publication of racially sensitive material in the

school newspaper, the principal can critique the case using principles of school law and a sample district and school policy.

5) Can explain the relationships between student activity and instructional programs and can describe ways to monitor the comprehensive opportunities each provides.

6) Can identify criteria by which student activities programs may be evaluated.

EDUCATION AND TRAINING

Preservice education and in-service training should proceed along parallel lines. The first step is to have trainees acquire the basic knowledge and to exhibit the attributes specified in the domain. This competence can be achieved through formal coursework, readings, workshops, seminars, etc. Paper and pencil tests can be used to assess this knowledge base.

The second step is to give trainees opportunities to apply their knowledge and develop skills while solving real problems in a relatively safe environment. Case studies, in-basket exercises, role-playing exercises, and direct clinical experiences are especially appropriate here. Realistic simulation materials that require demonstration of critical knowledge, skills, and attitudes are useful to both preservice coursework and in-service training. For example, trainees could:

1) respond to case studies dealing with tensions caused by diverse family structures, varying levels of student growth and development in a middle-level school, and/or conflicts between student activities and the academic program;

2) participate in clinical experiences that provide firsthand data about human services available through community agencies; the orientation, appraisal, record keeping, counseling, and placement functions of a school's guidance programs; and the administration of student activities programs; and/or

3) respond to in-basket exercises that require problem analysis, judgment, sensitivity, and immediate decisions regarding student placement, community and family conflicts, coordination with human service agencies, and coordination of student activities.

In addition to providing trainees with practice in safe environments, these activities offer opportunities for formative evaluation that would guide future activities.

MEASUREMENT PROCEDURES

Trainees should have opportunities to apply what they have learned through internships, holistic simulation exercises, or an integrated appraisal measure. (See Domain 5, Organizational Oversight, for an explanation of the integrated appraisal method.) They then could be assessed according to the four stages of the process model found in Fig. 10-1.

For example, application competency could be demonstrated in an internship that follows the preservice program. Trainees would be required to use their knowledge of student growth and development, the educational program, community and societal needs, family needs, and community human services during the internship. An internship also would allow trainees to demonstrate productive leadership in a range of guidance services and student activities.

Competency also could be assessed in a holistic simulation exercise in which trainees are given pertinent demographic data on the community, the school, and its student body and then asked to describe guidance and student activity programs that would be responsive to the needs suggested by the data.

Finally, competency could be measured through the use of videotaped interviews in which trainees are asked to describe what they currently do in regard to guidance and student activity programs and how their actions serve the identified needs of their schools, their students' families, and society.

Data derived from these assessments can be used as a summative evaluation of the trainees' competency and as a needs assessment for future professional development.

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STAFF DEVELOPMENT

DOMAIN 11

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STAFF DEVELOPMENT

DEFINITION

Staff Development: Working with faculty and staff to identify professional needs; planning, organizing, and facilitating programs that improve faculty and staff effectiveness and are consistent with institutional goals and needs; supervising individuals and groups; providing feedback on performance; arranging for remedial assistance; engaging faculty and others to plan and participate in recruitment and development activities; and initiating self-development.

Good principals work to strengthen the professional knowledge and skills of their staffs because they know that the quality of their schools reflects the quality of their personnel. Developing a highly qualified personnel is pursued through various staff development activities, including on-site workshops, university classes, professional conferences, and performance evaluations. The ultimate goal of these initiatives is to improve student instruction.

Principals play an active and key role in staff development programs. If personal and professional growth is to be maintained, if educational missions are to be enhanced, and if shared objectives are to be met, their direct and consistent involvement is required. Through this involvement they can make a personal and meaningful difference: They can create positive and productive school cultures (Fullan, Rolheiser-Bennett, & Bennett, 1989; Little, 1982; Rosenholtz, 1989).

LITERATURE REVIEW

According to the literature, staff development performs four major functions. It:

1) enhances the personal and professional lives of teachers and support staff;
2) supplies the means to remediate unsatisfactory performance and/or site conditions;
3) sets the groundwork for implementation of district and school goals; and
4) introduces the classroom, the school, and the profession to innovation and change (Duke, 1990; Joyce, 1990; Caldwell, 1988; Griffin, 1983).

Most authorities emphasize that improved instruction is the ultimate goal of staff development (Landon & Shirir, 1986; Bradford, 1986; Sheerin, 1991). Impressive gains in student achievement and promotion rates have been linked to well designed, ongoing staff development programs that have clearly established implementation plans and adequate resources (Stallings, 1989; Joyce, Murphy, Showers, & Murphy, 1989; Pink, 1989).

Although the commitment to staff development at the district level has long been accepted as essential (McCleary, 1984), there are many reasons for centering these activities at the school site. Four reasons, in particular, are usually cited.

First, staff development programs must be diverse yet specific to the needs of the school and its staff. Second, programs must be incorporated at the school level if they are to be useful; staff, after all, continually acquire new skills and knowledge that must be put into practice onsite (Showers, Joyce, & Bennett, 1987; McLaughlin & Berman, 1982; La Rosa, 1987). Third, school cultures can influence staff development and effect positive change (Lieberman & Miller, 1991; Grossnickle & Layne, 1991); schools with productive cultures, for example, are the most successful at creating environments that support effective teaching (Sagor, 1991). Fourth, new skills cannot be implemented without school-level support (Firth, 1982; Joyce, 1991). Incorporating these skills into practice requires techniques such as modeling, mentoring, and coaching, among others (Griffin, 1983; Showers et al., 1987).

Successful staff development programs require sustained district support and follow through. Programs must be given adequate technical and financial support; they must accommodate participants' schedules and allow for site-specific differences; they must avoid "quick-fix" solutions to problems; and they must be compatible with organizational policies, structures, and expectations (Pink, 1989; Pugh, 1982). Leadership, sophisticated effort, skill, and persistence also are required of the principal (Fullan et al., 1989). This leadership should result in shared or compatible purposes, norms of collegiality, norms of continuous improvement, and structures that provide conditions necessary to significant, measurable improvement (Little, 1982; Rosenholtz, 1989).

Of all that has been written about staff development, two themes dominate. The first centers on the personal and professional lives of teachers.

Like other professionals, teachers continually need to renew themselves in order to remain vital and effective. Staff development is an integral part of this process. Well designed and implemented programs teach new knowledge and skills and ensure that they are incorporated into the classroom. They emphasize the uniqueness of faculty members and the various stages of their careers, and recognize the need faculty have for collegial support, feedback, and active participation in their school.

The second theme focuses on individual schools as developing organizations. Each school has its unique culture and is capable of reorganizing and revitalizing itself given proper leadership and rich human resources. Staff development is the means through which this reorganization and revitalization occurs; it is the medium that integrates and enhances the various aspects of the school culture. It is the all-important link that connects faculty and staff to their school and results in the improvement of instruction.

THE DEVELOPMENTAL MODEL

A sound staff development program contains several elements, as illustrated in Fig. 11-1. These elements should not be viewed linearly. Rather, they are interactive and interdependent.

EXTERNAL INFLUENCES

Many external factors influence the types of staff development opportunities principals offer. The school budget, for example, dictates the number and scope of scheduled programs. Changing demographics may signal a need for multicultural training sessions. Technological trends may spur the creation of ongoing computer workshops, and so forth.

Individual schools respond to external factors through innovations and the infusion of new knowledge. These, in turn, effect change in district policies and practices. Formal responses to external factors are usually made at the district level, however, and individual school initiatives ordinarily fall within district policy (Pellicer, Anderson, Keefe, Kelly, & McCleary, 1990).

DISTRICT ROLE

The traditional staff development model is centralized, with policies, goals, and priorities initiated at the district level. The emergent model is focused on the school site, where faculty, staff, and the principal identify, address, support, and sustain professional growth (Little, 1982).

The emergent model does not discount the district's role in staff development; nor does it advocate that all district programming resources be decentralized. The district continues to be involved in policy and long-range planning. It continues to provide resources and diverse development opportunities and to offer joint leadership with principals in tailoring activities for individual schools (McLaughlin, 1991).

SCHOOL ROLE

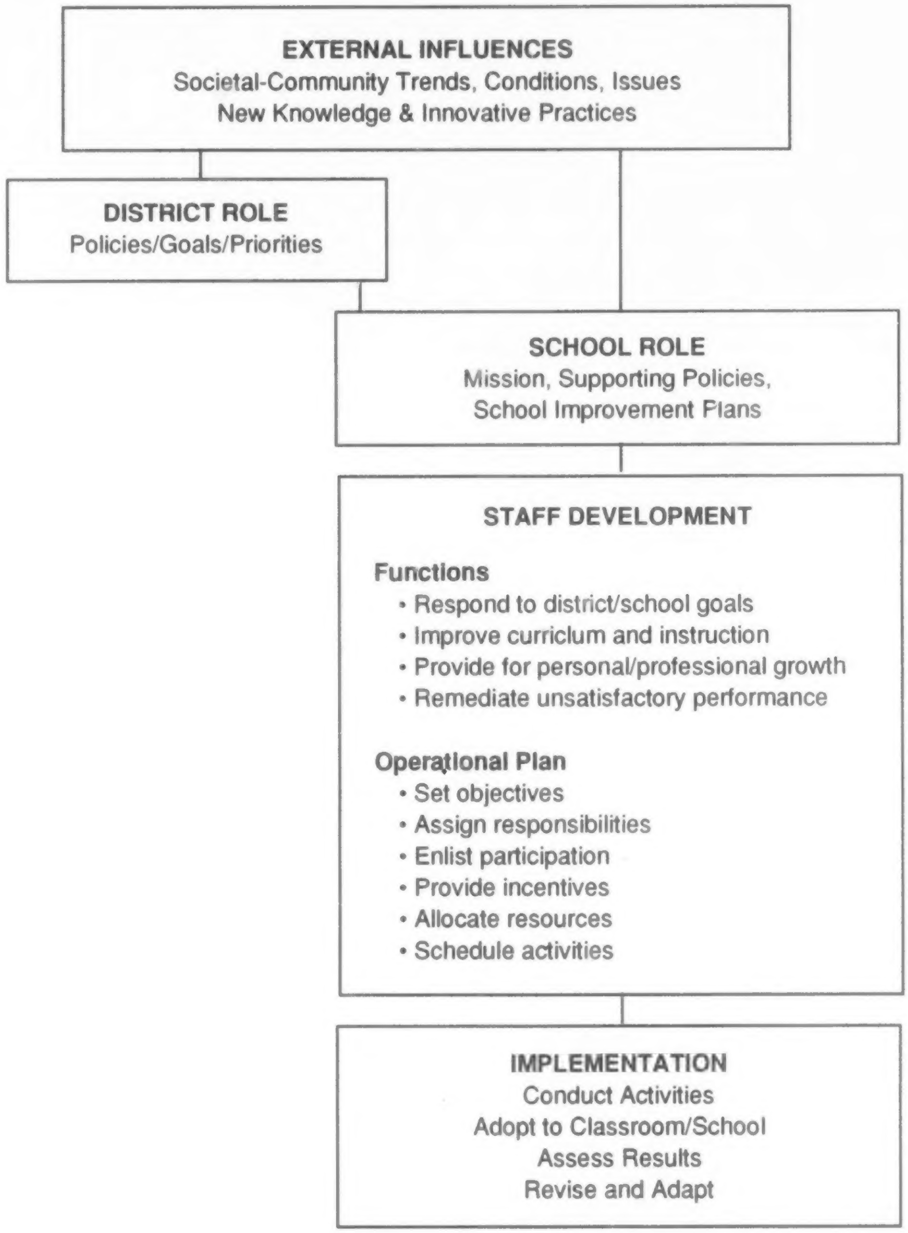
In response to external factors and district initiatives, schools develop mission statements, supporting policies, and improvement plans. As these statements, policies, and plans change, so do school programs, practices, and working relationships among staff. Staff skills and attitudes must be taken into account if change is to occur. The organizational development model (Schmuck, Runkel, Arends, & Arends, 1977), the action research model (Goodlad, 1984; Sagor, 1991), and the change agent model (McLaughlin & Berman, 1982) all are based on skill development and attitudinal change. Staff development programs support and further these changes, for a recognized connection exists between the restructuring of schools and the renewal of professional educators (Cooper, 1991).

STAFF DEVELOPMENT

Effective staff development programs are coordinated and performed with all four staff development functions in mind. In addition—as research and experience show—they are well designed and well implemented (Caldwell, 1988; Fullan et al., 1989; Grossnickle & Layne, 1991; Joyce, 1991; Landon & Shirir, 1986; Pink, 1989; Rosenholtz, 1989; Sagor, 1991; Showers et al., 1987).

To be implemented successfully, staff development programs must have an operational plan spearheaded by the principal. Good operational plans integrate the four functions and set clear and specific objectives for each development activity and assigned responsibility. They enlist participation and provide incentives for participation in addition to identifying procedures to assess staff needs and measure short- and long-term program results. They also ensure that activities have been given adequate time, resources, and follow-up support

STAFF DEVELOPMENT SCHEMATIC



EXTERNAL INFLUENCES
Societal-Community Trends, Conditions, Issues
New Knowledge & Innovative Practices

DISTRICT ROLE
Policies/Goals/Priorities

SCHOOL ROLE
Mission, Supporting Policies,
School Improvement Plans

STAFF DEVELOPMENT

Functions
- Respond to district/school goals
- Improve curriclum and instruction
- Provide for personal/professional growth
- Remediate unsatisfactory performance

Operational Plan
- Set objectives
- Assign responsibilities
- Enlist participation
- Provide incentives
- Allocate resources
- Schedule activities

IMPLEMENTATION
Conduct Activities
Adopt to Classroom/School
Assess Results
Revise and Adapt

Fig. 11-1

(Joyce, 1991; Showers et al., 1987; Pink, 1989; Sagor, 1991; Caldwell, 1988; Grossnickle & Layne, 1991; Landon & Shirir, 1986).

IMPLEMENTATION

Implementation refers to the conduct of all staff development activities required to adopt new knowledge and skills for improved classroom practice. Each of these activities must have specified objectives, scheduled tasks, and assigned responsibilities.

Implementation has four phases. First, the staff development program is conducted. Second, the skills and knowledge acquired through the program are put to use. Third, the results are assessed; and fourth, revisions and adaptations are made (if necessary) to better meet program objectives.

Implementation Difficulties: Implementation is more complex than originally thought. Pink (1989), who reviewed a number of programs, concludes that implementation receives too little attention and that the theories governing it are inadequate.

Specifically, Pink found that programs often lack support and follow through, that they fail to develop school leadership because they are managed by the district, and that differences among school sites often go unacknowledged. In addition, programs frequently do not allow enough time for the acquisition of new skills and knowledge. They are insensitive to competing demands and work overload, and their requirements are sometimes incompatible with organizational policies and structures.

Effective Training: Training has also turned out to be more complex than originally thought. Skills that appear simple often require more training than expected (Good, 1989). Not surprisingly, the more complex the skills and knowledge to be transmitted, the more complex the training process is. This is particularly true when training attempts to alter school routines and activities, or professional attitudes and beliefs (Joyce et al., 1989).

Studies indicate that the most critical features of successful training are theory, program design, demonstration, practice in a safe environment, follow-up to assist staff with putting new skills and knowledge to use, feedback, and results assessment (Showers et al., 1987). The literature also shows that the effectiveness of staff development programs increases when principals maintain a high profile during training. Chances for success are also greater when staff are involved in program planning and performance, and school personnel are used as trainers and leaders.

Incorporating Training: Staff development programs are effective only to the extent that faculty and staff put their new knowledge and skills to use. Mentoring, modeling, and coaching are an essential part of this process. When these roles are left unstructured, or when they are not a part of the school's culture, new knowledge and skills often fail to become incorporated (Little, 1982).

Assessments: To assess the success of staff development programs, two types of evaluations are needed (Love, 1982). The first monitors specific activities as they occur in order to gauge their usefulness to participants. Checklists, inventories, survey instruments, and other techniques are employed to make these determinations (Purvis & Boren, 1991).

The second type of evaluation assesses the training's long-term impact on classroom and school practice. It determines the extent to which new skills and knowledge have been incorporated and the changes that may have occurred as a result. This information, which is often referred to as action research, is obtained over time and provides valuable feedback to groups monitoring staff development programs or designing new ones (Holly, 1991; McClure, 1991).

Although various approaches to data collection and analysis can be used, qualitative and quantitative evidence should be collected in order to make an informed evaluation of a program's success (Holly, 1991).

In summary, the process model elements are interactive and interdependent, rather than linear. External factors cause "endless dialogue" among parents, community groups, officials, and teachers as they formulate and refine district and school policies, goals, and priorities. There is no "top-down" process for goal-setting (Clune, 1990). These goals in turn affect a school's mission, which alters its operational plans for staff development. The resultant plan requires collaborative goals, minimum uncertainty about mission and direction, positive attitudes among teachers, flexibility in details, and principal support (Rosenholtz, 1989). If the plan succeeds, the school community considers that fact as it continues its "endless dialogue" on schools.

KNOWLEDGE AND SKILLS

The managerial and leadership qualities of principals, as defined in the functional, interpersonal, and contextual domains, are essential to the conduct of staff development activities. Principals must work with individuals and groups to formulate goals and to initiate, direct, and follow through on tasks (as outlined in the functional domains). They must motivate others and exhibit sensitivity when working with them (as outlined in the interpersonal domains), and they must pay attention to cultural and philosophical values (as outlined in the contextual domains).

These skills and knowledge are incorporated in this domain through the framework of the developmental model.

EXTERNAL INFLUENCES AND DISTRICT ROLE

Principals must be aware of the external influences (e.g., trends, conditions, issues, etc.) that affect their schools and staff. Likewise, they must be up-to-date on district policies and planning procedures to assure that their schools' needs are met and that resources are made available for staff development programs. An adequate on-site data base is required to help compile and track this information.

The specific behaviors required of principals include:

- establishing procedures to track student, faculty, and staff performances, classroom and school-wide behavior problems, etc.;
- relating school-based data to broader trends and issues, and using this information to represent their schools to the district and to plan staff development activities;
- using information about state and federal in-service requirements (particularly special program and project requirements), and obtaining government resources to benefit faculty and staff;
- preparing and presenting reports, plans, and initiatives for staff development;
- communicating district policies, plans, and available resources to the individuals and groups responsible for on-site staff development.

Knowledge and skills from the other domains are particularly important to this aspect of staff development. These include an understanding of the current social and economic conditions that relate to education and policy initiatives; the ability to communicate effectively through verbal, nonverbal, and written expression; and the ability to formulate goals, set priorities, collect information, and analyze problems.

SCHOOL ROLE

Staff development is the organized means to carry out school improvement. Just as staff development strongly influences a school's culture, so does school culture influence staff and student performance expectations. Positive and productive school cultures encourage faculty and staff to meet high expectations and improve instruction. They stimulate innovation, and offer personnel the support they need to incorporate new skills and knowledge.

Principals help create and sustain a school's culture. Their leadership abilities and management skills are essential, therefore, to planning and implementing staff development activities and to communicating program expectations to participants. (See Domain 1, Leadership.)

Principals need to be up-to-date on staff development research and practice, especially as they relate to school culture, and knowledgeable about adult learning and training programs designed to transfer new skills to practice. Principals must be skilled in cooperative problem solving, needs assessment, program planning, mission and goal statement development, and interviewing and conferencing techniques.

The specific behaviors required of principals include:

- planning procedures to develop staff activities, including the creation of steering committees;
- working with steering committees to formulate school improvement plans that reflect the concerns and assessed needs of faculty and staff, as well as students and parents;
- working with steering committees to establish priorities, goals, and allocation of resources for each of the staff development functions noted in the schematic;
- working with steering committees to obtain faculty input on the mission plans, goal statements, areas targeted for change, and proposed courses of action;
- reviewing plans with appropriate officials to elicit suggestions and resources, and to assure that plans conform to district policies; and
- working with steering committees to prepare plans and communicate them to faculty and staff for final discussion and revision.

STAFF DEVELOPMENT

As mentioned previously, staff development serves four primary functions. Each is distinct, yet interrelated; all require changes in individual and group knowledge, skills, and attitudes. Taken together, the four serve as a framework for organizing data about staff and school needs.

Principals must be knowledgeable of staff development research and successful applications for each function. This knowledge, which can also be derived from personal experience, should be shared with faculty and staff, and used with school planning teams to formulate an operational plan. Plans need not be complex; however, they should include goals and activities for each function and should be related to teacher performance evaluations. Plans should also assign responsibilities, include timelines, and contain resource information.

To be effective, principals should be skilled in planning procedures, group processes, information sharing, management training, and delegation. The specific behaviors required of principals include:

- working with planning committees to develop activities, establish program objectives, and assign responsibilities;
- conferring with those assigned responsibilities in order to make decisions about resources, facilities, scheduling, specific assignments, etc.;
- enlisting participation and providing administrative support; and
- reviewing detailed plans and arrangements.

IMPLEMENTATION

Implementation refers to the conduct of activities needed to complete each phase of the staff development plan. Properly planned and organized, each activity has specified tasks and objectives, a set timeline, and assigned responsibilities. Some activities will be contingent upon the acquisition of resources (e.g., so staff members can attend an off-campus training session); others may require that consultants be brought on-site to conduct workshops or to confer with work groups; still others may require that activities be coordinated with other schools and/or district personnel. Whatever the nature or scope of these activities, each should be associated with a given objective and should conform to the staff development phases shown in the schematic.

According to the literature, a principal's visibility during training is key to success. So, too, is staff participation in the planning and performance of staff development activities, and the use of school personnel as trainers; whenever possible, they should be given leadership roles. In addition, studies indicate the two most critical features of staff development activities are program design and follow-up (e.g., coaching techniques and assessments to ensure that new skills and strategies have been incorporated).

The specific behaviors required of principals include:

- making all of the administrative arrangements necessary to conduct staff development activities;
- providing visible support and encouragement through active program participation;
- ensuring that training and project experiences have direct application to changes in the classroom;
- providing participants with incentives and recognition;
- conducting formal and informal assessments of the program in general and specific activities in particular;
- following up training with mentoring, coaching, conferencing, and other techniques to ensure that new skills and knowledge are put into practice; and
- using evaluation results to give feedback to individuals and groups, make necessary adjustments, and plan future activities.

PERFORMANCE STANDARDS

After completing this domain, principals should be able to:

1) describe the essential characteristics of a staff development program and the four primary staff development functions;

2) analyze and critique descriptive accounts of successful programs in terms of planning, implementation, and evaluation, and determine if these programs incorporated all of the essential characteristics and primary functions of staff development;

3) demonstrate mentoring, coaching, and conferencing skills;

4) be knowledgeable of action research methods as they relate to the investigation and resolution of classroom and school problems;

5) know how to collect and use needs assessment data on staff development programs;

6) discuss the relationship between staff development and the following: supervision, staff evaluations, the incorporation of new knowledge and skills in classroom practice, and program evaluation;

7) conduct literature searches for each of the items above and identify sources that will keep knowledge and skills up-to-date; and

8) review evaluation studies to identify questions investigated, methods used, principal findings, and the effects of staff development activities.

EDUCATION AND TRAINING

Some of the information related to staff development can be taught didactically, such as how to conduct a literature search or how to analyze a research or evaluation study. Much knowledge and many essential skills, however, are attained through individual and small group efforts, clinical programs, presentations, discussions, and firsthand experiences in field settings. The exercises below are designed to give trainees a balance of each.

Model Operational Plan I: In this exercise, trainees are assigned readings and then asked to develop a staff development program. (Trainees may work alone or in groups.) The plan should include the essential characteristics of staff development and address each of its four functions. Trainees will be asked to present and defend their plans to the group for feedback and discussion. (This exercise reflects performance standards 1 and 2.)

Model Operational Plan II: This exercise is similar to the one above, except that trainees are given information from an actual school from which they are to develop an operational plan.

Trainees are divided into teams, with a minimum of one team member assigned to each of the four staff development functions. All teams are given the same background materials (see Fig. 11-2). They then study the materials, make assumptions about the information that has not been provided (no real-life situation provides principals with all of the information they need, after all), conduct a literature review to support their methods and recommendations, and prepare and present their staff development plan.

MODEL OPERATIONAL PLAN II BACKGROUND MATERIALS

These materials can be obtained from schools and fictionalized for use in this exercise. The lists below are not meant to be inclusive; additional materials will enrich the exercise.

District Materials:

- brief statements about district policies and requirements (e.g., provision of district personnel; amount of contract time devoted to staff development, etc.); and
- goal statements.

School Materials:

- numbers and specializations of faculty and staff;
- mock-up of a master schedule and a calendar of monthly activities of faculty meetings and assignments;
- a description of the school environment;
- a budget allocation for in-service activities;
- biographical staff sketches;
- performance evaluations;
- results of needs assessment surveys; and
- school goal statements.

FIG. 11-2

Trainers evaluate the plan according to the following criteria:

- Trainees used procedures that conformed to action research practices.
- Background materials were well utilized, and assumptions, where necessary, were appropriate.
- Methods and recommendations were adequately supported by the literature.
- Each staff development function was addressed in terms of needs, practices, descriptions and recommendations about possible activities and resources, implementation, follow-up, and assessment.
- Each staff development function was analyzed in relation to the others, resulting in an integrated plan. (This exercise reflects performance standards 1 and 2.)

Project Analysis: Trainees analyze staff development project reports to determine the success of these projects. Trainees should evaluate these projects on the extent to which they addressed each of the characteristics and functions of staff development, as outlined in the process model. (This exercise reflects performance standards 7 and 8.)

Needs Assessments/Program Planning: In this exercise, trainees work directly with faculty and support staff to assess training needs and plan an appropriate school development program. (This exercise reflects performance standards 5 and 6.)

Evaluations: Trainees conduct evaluations of specific staff development activities and share their findings with participating principals and school planning committees. (This exercise reflects performance standard 4.)

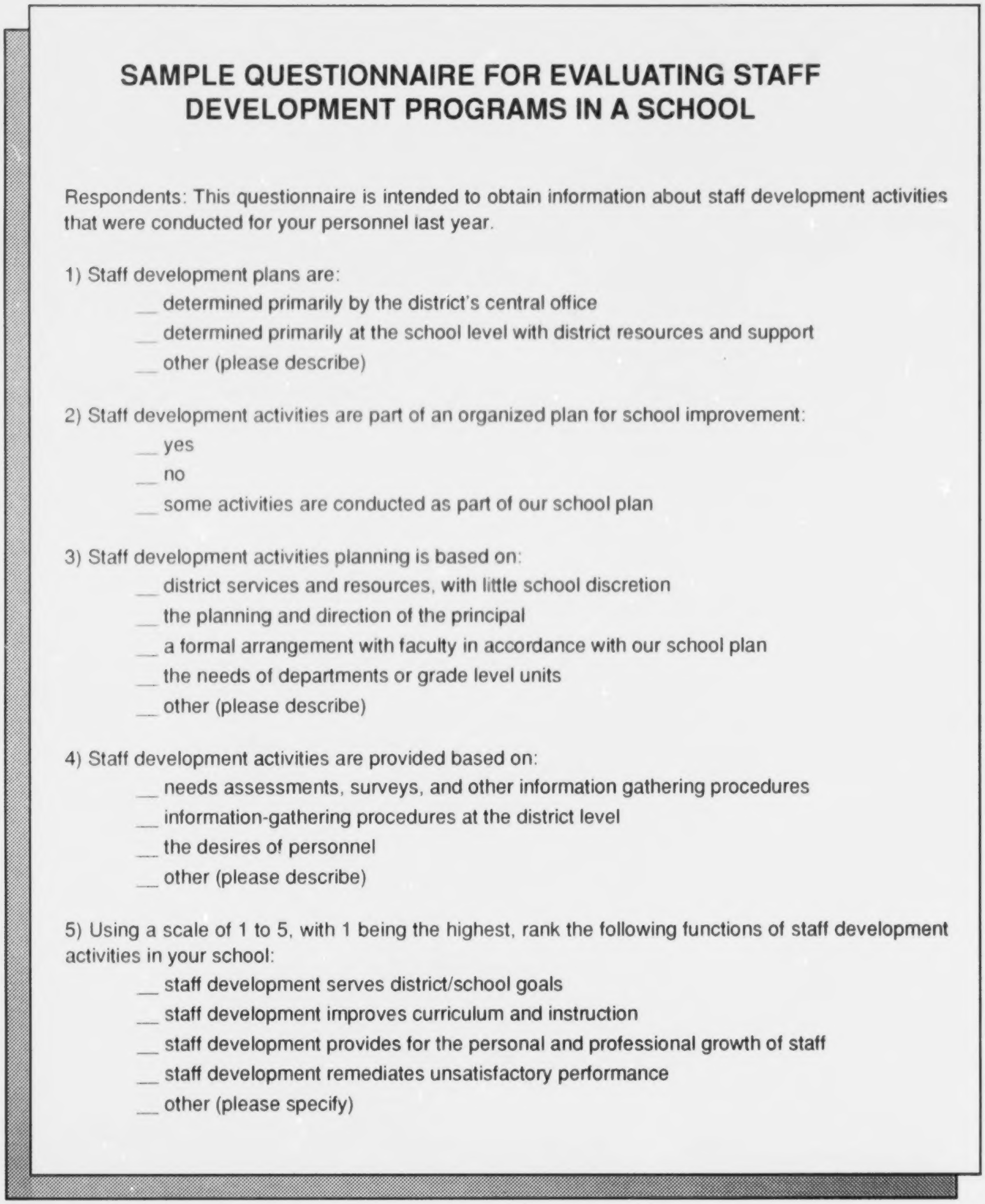
Interviews and Observations: Trainees interview principals and observe staff development programs to gain firsthand knowledge of specific activities and local practices. (This exercise reflects performance standards 1, 3, 4, and 5.)

Meetings with Directors: Arrangements are made for staff development directors of government agencies, teaching centers, etc., to meet with trainees and share their knowledge, skills, and experiences with them. (This exercise reflects performance standard 3.)

Questionnaire Construction: With the characteristics and functions of staff development in mind, trainees construct a survey questionnaire and collect data from a stratified sample of schools. (See Fig. 11-3.) Trainees are then asked to write a report of their methods and findings and present it to a group of principals for review. (This exercise reflects performance standard 6.)

A theoretical understanding of knowledge and skills does not ensure that either will be transferred to practice satisfactorily. Accordingly, formal instruction should always include direct references to practice. Knowledge and skills should be tied to an understanding of the attitudes, values, norms, and other conditions that affect school cultures, as well as to the patterns of interpersonal relationships and influence that affect staff development and prompt changes through it. Dealing with these conditions, relationships, and influences requires firsthand experience in a school setting.

Accordingly, whenever possible, trainees should jointly teach classes or seminars, give presentations, and participate in discussions at school sites. Staff development opportunities are also available to trainees through field-based experiences, full-time internships, and part-time employment. Trainee responsibilities will vary from one placement to another. However, it is the nature and quality of their supervision through mentoring and coaching



SAMPLE QUESTIONNAIRE FOR EVALUATING STAFF DEVELOPMENT PROGRAMS IN A SCHOOL

Respondents: This questionnaire is intended to obtain information about staff development activities that were conducted for your personnel last year.

1) Staff development plans are:
__ determined primarily by the district's central office
__ determined primarily at the school level with district resources and support
__ other (please describe)

2) Staff development activities are part of an organized plan for school improvement:
__ yes
__ no
__ some activities are conducted as part of our school plan

3) Staff development activities planning is based on:
__ district services and resources, with little school discretion
__ the planning and direction of the principal
__ a formal arrangement with faculty in accordance with our school plan
__ the needs of departments or grade level units
__ other (please describe)

4) Staff development activities are provided based on:
__ needs assessments, surveys, and other information gathering procedures
__ information-gathering procedures at the district level
__ the desires of personnel
__ other (please describe)

5) Using a scale of 1 to 5, with 1 being the highest, rank the following functions of staff development activities in your school:
__ staff development serves district/school goals
__ staff development improves curriculum and instruction
__ staff development provides for the personal and professional growth of staff
__ staff development remediates unsatisfactory performance
__ other (please specify)

Fig. 11-3

that ultimately determines how meaningful and practical trainee experiences will be.

MEASUREMENT PROCEDURES

To measure knowledge and skill level, trainees must be rated on the quality of written materials and on actual performance. Assessments should be made by professors, school personnel, and other individuals involved in, or knowledgeable about, staff development.

Each important knowledge or skill area should have associated with it an activity in which an observable product is expected or assigned. Evaluation criteria need to be specified and ratings assigned in accordance with them. In addition, trainers must determine the following: the number and appropriateness of products and performances to yield valid measures of a given knowledge or skill, reliability of raters, and the formative and summative uses to be made of an evaluation.

DEVELOPING SUBSTANTIVE PRODUCTS

As part of their training, trainees should prepare a model operational plan for staff development. In assessing the plan, trainers should use the following criteria:

- The plan contains an adequate statement of what staff development is.
- The principal's role in the plan is substantiated by at least two authoritative sources.
- The plan addresses the four primary functions of staff development and gives at least two substantiated examples of how the plan serves these functions.
- The plan recommends procedures for identifying staff development needs, involving staff in program planning and performance, and evaluating short- and long-term program results.
- The plan includes procedures for incorporating new knowledge and skills and for initiating follow-up activities as suggested by the evaluations.
- Criticisms of the plan have been addressed and suggestions have been incorporated.

ASSESSING PERFORMANCE

Trainee performance can be evaluated using instruments such as the one in Fig. 11-4. For each item in Fig. 11-4, trainees are rated on a scale of 1 to 4 (1=satisfactory, exemplary; 2=satisfactory, with room for improvement; 3=unsatisfactory, improvement required; 4=unsatisfactory, not acceptable). Assessments are made by direct observations, interviews, and evaluation of products created during staff development exercises.

INSTRUMENT TO EVALUATE TRAINEE KNOWLEDGE AND SKILLS ON STAFF DEVELOPMENT

1) Trainee displayed knowledge of the characteristics of staff development programs by accurately citing:
    - literature on staff development and effective practices;
    - literature on supervision and curriculum that relates to staff development.

2) Trainee employed knowledge of staff development by:
    - writing plans and procedures;
    - presenting and defending his/her points of view;
    - contributing to group discussions and tasks.

3) Trainee constructively analyzed and critiqued staff development programs and activities of:
    - fellow trainees;
    - observed school practices;
    - interactions with resource people (practitioners, academics, etc.).

4) Trainee applied knowledge of needs assessment principles and procedures by:
    - using needs assessment data to prepare staff development plans;
    - designing needs assessment instruments.

5) Trainee displayed knowledge and skills related to action research by:
    - preparing plans that employed action research procedures;
    - working with a teacher on a teacher improvement project;
    - working with a school to implement a project that resulted from a staff development activity.

6) Trainee demonstrated group problem-solving skills by:
    - being sensitive to the points of views of others;
    - clarifying issues and differences within a group;
    - providing information to serve group purposes;
    - organizing tasks needed for group action;
    - facilitating group processes in agenda setting and decision making.

Fig. 11-4

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MEASUREMENT AND EVALUATION

DOMAIN 12

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MEASUREMENT AND EVALUATION

DEFINITION

Measurement and Evaluation: Determining what diagnostic information is needed about students, staff, and the school environment; examining the extent to which outcomes meet or exceed previously defined standards, goals, or priorities for individuals or groups; drawing inferences for program revisions; interpreting measurements or evaluations for others; relating programs to desired outcomes; developing equivalent measures of competence; designing accountability mechanisms.

Measurement and evaluation are essential components of an educational system, and it is the responsibility of principals to ensure that they are used effectively.

Measurement is the process of gathering information about students' traits, attributes, or characteristics. Educators use a wide variety of tools and methods to carry out this assessment process, including paper and pencil instruments, performance assessments, authentic assessments, and direct personal communications with students.

Once the status of a particular student characteristic (e.g., achievement) is assessed, evaluation follows. Evaluation requires that educators compare student performance to a particular standard. If results indicate that student performance should be improved, decisions are made about ways to achieve this. (See also Domain 2, Information Collection.)

Because different kinds of decisions are informed by measurement and evaluation results, different kinds of standards are needed. Some decisions require the comparison of student performance so that students can be ranked. Educational and vocational placement and guidance decisions, for example, often make use of this kind of information. Other decisions require the comparison of student performance to a preset standard. Although these comparisons are inappropriate in some contexts, preset standards are required to define need, for example.

This is familiar ground to competent principals. They understand the need to define and gather sound information about outcomes to be assessed and know how to use assessment results appropriately. They know how sound measurement and evaluation practices differ from unsound practices. And, more importantly, they act on their knowledge of these differences.

LITERATURE REVIEW

> Principals should be held accountable for school performance, especially if they are given the flexibility and resources to meet the goals set for the school. (National Governors' Association, 1986, p. 60)

With these emerging expectations, principals must become competent assessors of student outcomes to demonstrate the impact of schooling on students. This is a new role, one well supported in recent literature. The following two quotes are typical of current thinking:

> Supported by much of the literature and research associated with effective schooling and principals' leadership, has been the emergence of trends toward school based management, shared decision making, . . . and a more intense focus on educational outcomes. Such developments require new, refined skills from those who lead schools. (National Association of Elementary School Principals, 1991, p. 1)

> In recent years, two major changes have taken place in the way in which the high school principalship is perceived by those who study it. First, the principalship has been linked to school effectiveness. Principals, by using proper management techniques and leadership strategies, particularly in curriculum and instruction, are expected to have a dramatic impact on the effectiveness of their schools. (Pellicer, Anderson, Keefe, Keley, & McCleary, 1990, p. 3)

THE ROLE OF SOUND ASSESSMENT IN EFFECTIVE SCHOOLS

Ongoing, systematic assessment of student functioning is an essential feature of current conceptualizations of effective schools. Student outcomes appear to be enhanced when:

- goals for students are clear;
- there is an alignment between goals, curriculum, and assessment;
- assessment is integrated with instruction;
- instructional leaders check student progress frequently;
- results are directly related to objectives;
- changes in both instruction for individual students and the educational program are based on this information; and
- information is shared (School Improvement Program, 1990; Fuchs, Fuchs, Hamlett, & Stecker, 1991; Bergen, Sladeczek, Schwarz, & Smith 1991). (See also Domain 9, Curriculum Design.)

CURRENT LEVEL OF PRINCIPAL COMPETENCE IN ASSESSMENT

As instructional leaders, principals must provide a vision of effectiveness for their schools and lead school groups toward its accomplishment. Accordingly, they must have the skills necessary to develop sound evaluation and assessment practices and to motivate colleagues to utilize these practices. The importance of these skills is addressed in many current statements of competencies for principals (National Association of Elementary School Principals, 1991; Southeast Educational Improvement Laboratory, 1987; Duke, 1987; Duttweiler & Hord, 1987; Hoyle, English, & Steffy, 1985). Several recent studies and articles, however, report that principals probably do not have the required assessment skills (Smith, 1991; Lissitz, Schafer, & Write, undated; Golan & Dreyfus, 1989; Muth, 1989; Hills, 1991; National Policy Board for Educational Administration, 1989; National Commission on Excellence in Educational Administration, 1987). Specifically, these articles and papers suggest that:

- principals sometimes are more concerned about increasing test scores than about the scores' meaning;
- many administrator training programs do not offer courses in assessment, or, that available courses lack rigor;
- such courses are sometimes optional, and students often do not take them because they don't believe assessment competence will affect employability; and
- principals generally lack assessment expertise and, therefore, need help in becoming aware of additional information sources,

in being more critical consumers of testing information, in relating test information to instruction, and in making better observational approaches.

THE ASSESSOR MODEL

A framework of assessment competencies for principals should reflect current thinking about the principal's role as instructional leader, instructional manager, and communication facilitator.

As *instructional leaders,* principals have prime responsibility for developing and implementing a vision of assessment that is an integral part of classroom instruction throughout the school. As *instructional managers,* they must be informed users of assessment in their management of the decision-making process. As *communication facilitators,* they must ensure the timely and accurate delivery of sound assessment information to those who make decisions within and beyond the school building (e.g., district personnel, community members, etc.).

Clearly, these three roles are not mutually exclusive. They overlap in various ways, as is illustrated in Fig. 12-1 and described in the knowledge and skills section below. (Variations of these competencies, it should be noted, relate to superintendents, associate superintendents, curriculum directors, and other educational leaders.)

The list of competencies presented here differs from past conceptualizations. Many previous descriptions of competency for school administrators were general or vague. For example, statements of assessment competencies required for certification in Oregon and Washington included such general statements as "the competent administrator demonstrates skill in the use of assessment data to provide effective instructional programs" and "skill in the implementation of the district's student evaluation program" (Oregon Teacher Standards and Practices Commission, 1990; Washington Office of the Superintendent of Public Instruction, 1990). In addition, previous lists of competencies assumed that assessment was external to instruction and primarily served a monitoring function (National Association of Elementary School Principals, 1991; Hoyle et al., 1985; Frechtling, 1989).

By contrast, the view presented here defines the principal's primary role as setting up systems that promote educationally relevant assessment designed to improve student outcomes. Thus, assessment is not only the monitor of success, but also the centerpiece of program improvement.

The competencies described below attempt to answer the question: "What do principals need to know, and what do they need to be able to do to ensure the development and use of instructionally relevant assessments in their schools?" Each was developed in response to current literature and

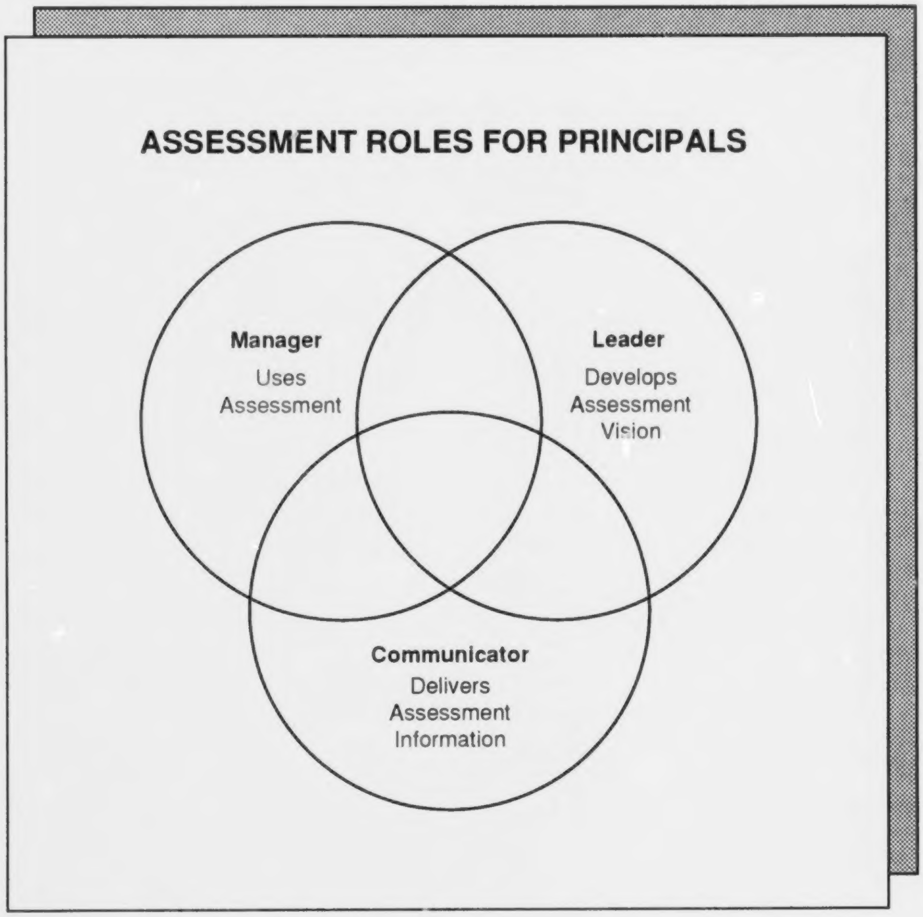
ASSESSMENT ROLES FOR PRINCIPALS
Manager
Uses Assessment
Leader
Develops Assessment Vision
Communicator
Delivers Assessment Information

Fig. 12-1

was subjected to a thorough review by several groups of principals.

The list, itself, is limited to competencies only; therefore, it should be regarded as addressing only one of the necessary conditions for ensuring sound assessment in schools. Other conditions must be satisfied, including:

- the development of assessment policies at district and building levels that enable the use of sound assessment (see sample, Fig. 12-3); and
- specific assertive action on the part of competent principals to put their knowledge and ability to work in the school building. (Hills, 1991, for example, cites the need to establish a school culture to reward sound assessment.)

KNOWLEDGE AND SKILLS

The competencies listed here form the basis of a principal preparation program in assessment and can be used to evaluate a principal's readiness to do the job. It should be noted, however, that they are an insufficient basis for evaluating actual job performance.

The competencies themselves are grouped according to the role(s) to which they are most essential: instructional leader, instructional manager, or communication facilitator (see Fig. 12-2). Some competencies are unique to one role. Others, however, are important to more than one role and they overlap. In addition, several competencies are required for all three roles. These are described immediately below.

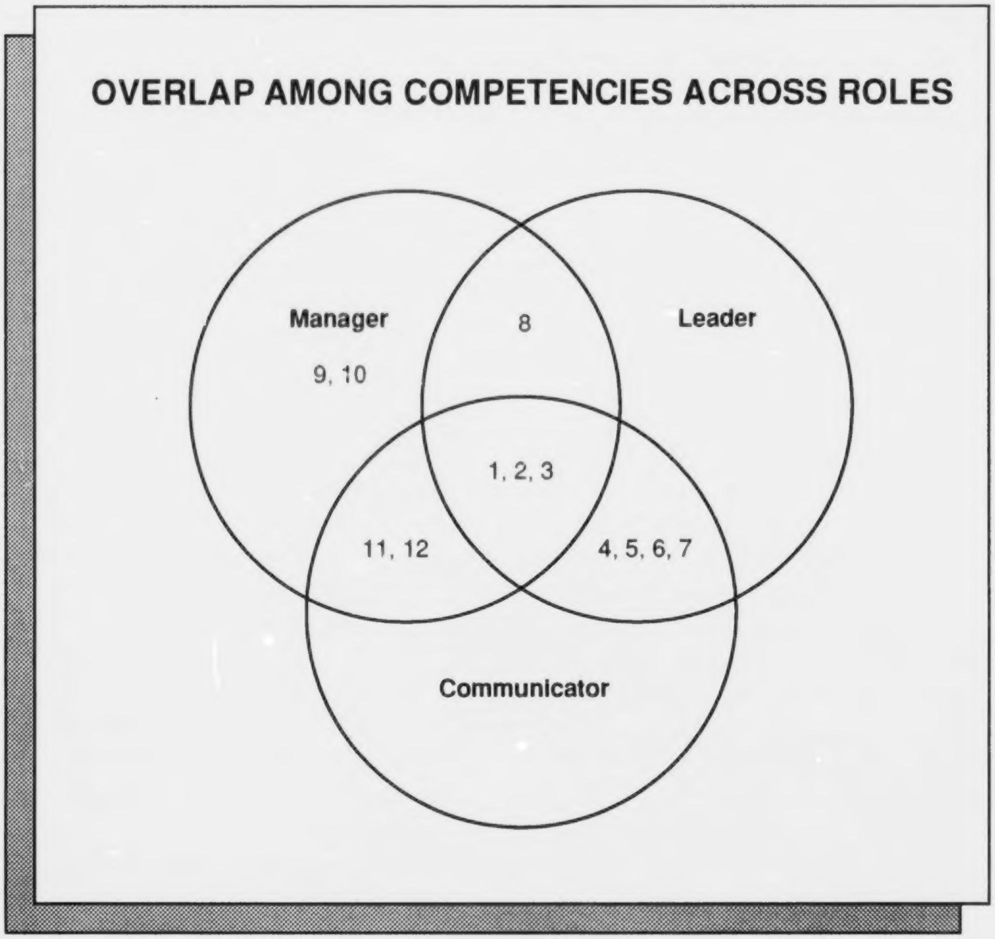
OVERLAP AMONG COMPETENCIES ACROSS ROLES
Manager
9, 10
8
Leader
1, 2, 3
11, 12
4, 5, 6, 7
Communicator

Fig. 12-2

ASSESSMENT COMPETENCIES FOR ALL THREE ROLES

Attributes and Applications of Sound Student Assessment (#1 in Fig. 12-2): This competency underlies all the rest. If principals cannot differentiate between sound and unsound assessments, they will be unable to plan, implement, or interpret a sound program.

Key behaviors of effective principals include:

- describing curriculum goals valued at the building level and explaining each goal's importance;
- linking valued achievement targets to proper assessment formats: paper and pencil, performance, personal communication-based methods, and/or authentic assessments;
- understanding and knowing how to control for sources of extraneous interference that can cause the incorrect measurement of student achievement;
- understanding and applying sampling methods that ensure fair, complete, and efficient assessment of student achievement; and
- training others to apply these attributes to their assessments.

Attributes and Applications of a Sound School Assessment System (#2): Competency #1 refers to knowledge about the design of individual assessments, whereas competency #2 refers to knowledge of how all the assessments within a school fit together.

Key behaviors of effective principals include:

- ensuring that a range of achievement targets are assessed and that they represent what the local educational community feels are important educational outcomes;
- describing all of the uses of, or purposes for, assessment for each decision-maker in the building, including students, teachers, parents, guidance counselors, and support staff;
- describing why classroom, building-level, and district-level assessments are important, and the difference that sound assessment at all levels makes for instruction;
- describing how assessment can be integrated with classroom instruction;
- describing the process for aligning assessment, curriculum, and instruction; and
- describing how various types and levels of assessment fit together.

Issues Involving Unethical and Inappropriate Use of Assessment Information and Ways to Protect Students and Staff from Misuses (#3): Key behaviors of effective principals include:

- describing procedures for the maintenance of test security when necessary;

- describing procedures for ensuring that assessment results of individual students are kept confidential;
- describing potential sources of bias in assessment and how to minimize them; and
- articulating equity issues with respect to assessment.

INSTRUCTIONAL LEADER COMPETENCIES

Assessment Policies and Regulations that Contribute to the Development and Use of Sound Assessments at All Levels (#4): Key behaviors of effective principals include:

- describing the contexts in which school site policies are required;
- describing and explaining district, state, and national assessment policies and their potential effects on site practice;
- involving staff in devising appropriate school policies that are sensitive to site needs, the district, the state, and national assessments; and
- advocating for district, state, and national policies that support sound assessment at the building level.

Setting Goals with Staff for Integrating Assessment into Instruction and Assisting Teachers in Achieving These Goals (#5): Key behaviors of effective principals include:

- citing strategies to engage staff in goal-setting processes that promote the sound development and use of classroom assessment; and
- describing ways teachers can integrate assessment into the teaching/learning process (e.g., teaching students to self-evaluate, using critiques based on clear criteria for success, etc.).

Evaluating Teachers' Classroom Assessment Competencies and Building Such Evaluations into the Supervision Process (#6): Key behaviors of effective principals include:

- describing essential assessment competencies for teachers;
- setting performance criteria for each teacher;
- gathering sound information from the classroom regarding actual teacher performance with respect to those criteria; and
- providing meaningful feedback to the teacher on performance.

Planning and Presenting to Staff Developmental Experiences That Contribute to the Development and Use of Sound Assessment at All Levels of Decision Making (#7): Key behaviors of effective principals include:

- describing staff development priorities in assessment and the action needed to meet those staff needs.

Using Assessment Results for Building-Level Instructional Improvement (#8): Key behaviors of effective principals include:

- knowing the importance of a written plan for assessing information to be used for program improvement;
- citing ways to combine information across classroom assessments to reflect building-level improvement priorities;
- involving teachers in this process; and
- devising processes to track the impact improvement efforts have on student achievement.

INSTRUCTIONAL MANAGER COMPETENCIES

Accurately Analyzing and Interpreting Building-Level Assessment Information (#9): Key behaviors of effective principals include:

- explaining the issues related to aggregation and disaggregation of assessment information and when it is appropriate to disaggregate information;
- appropriately analyzing and interpreting multiple sources of information, even when they conflict;
- using knowledge of measurement error and statistical significance to interpret assessment results appropriately; and
- appropriately determining the extent to which learner outcomes meet or exceed previously defined standards.

Acting on Assessment Information (#10): Key behaviors of effective principals include:

- describing how available assessment information is best used to inform instructional decisions at the building level; and
- describing how building, district, state, and national results relate to each other, and their implications for on-site instruction.

COMMUNICATOR ROLE COMPETENCIES

Creating Conditions for the Appropriate Use of Achievement Information (#11): Key behaviors of effective principals include:

- modeling the value of using assessment results and helping to solve assessment problems;
- developing teachers who have clear indicators of degrees of success with assessment;
- appointing or training advisory board members who understand the principles of sound assessment;
- making assessment information part of the regular discourse of school life;
- making accurate assessment results available to those who need them and inaccessible to those who have no right to them; and

- being able to describe strategies for creating these conditions on-site.

Communicating Effectively with School Community Members about Assessment Results and Their Relationship to Instruction (#12): Key behaviors of effective principals include:

- explaining the meaning and significance of relevant assessment information to all who need to understand it; and
- knowing how to use assessment information in the political arena to support quality education.

PERFORMANCE STANDARDS

After completing this domain, principals should be able to:

1) describe the major components of an assessment program designed to evaluate student outcomes;

2) explain the relationship of assessment to strengthening curriculum and instruction;

3) identify the major role expectations for principals in providing for assessment programs;

4) examine the data relationships between school goals and student outcomes;

5) draw inferences for revising school programs based on assessment data;

6) design accountability mechanisms based on assessment information;

7) describe the relationship of standards to purposes for evaluating student performance;

8) explain the relationship of assessment to improving student outcomes;

9) identify assessment policies that contribute to the development of sound assessment practices;

10) develop with teachers an outcomes-based, goal-oriented curriculum;

11) describe several specific competencies required of principals in their role as leaders of the site-level assessment program, as managers, and as communicators;

12) explain the relationship of student assessment to school assessment;

13) evaluate the assessment competencies of teachers; and

14) explain the relationship of assessment at the school site to assessment policies and outcomes at the district, state, and national levels.

EDUCATION AND TRAINING

Training and professional development experiences in measurement and evaluation are available from a variety of sources. For the instructional leadership role, trainees can make use of the Northwest Regional Educational Laboratory's video-based Classroom Assessment Training Program, a series of 15 workshops designed to provide practical assessment evaluation and grading guidance in simple, everyday language. For details, contact NWREL Office of Public Information (800-547-6339) or the program's publisher and distributor, IOX Assessment Associates, 5420 McConnell Avenue, Los Angeles, California (213-822-0269).

Trainees interested in another treatment of the same materials can use *Classroom Assessment* by Peter Airasian (McGraw-Hill, 800-262-4729). This is the first introductory assessment text written especially for school-site personnel.

Other training options that address a broader base of assessment concerns include an Association for Supervision and Curriculum video series entitled "Redesigning Assessment" (contact ASCD, 1240 N. Pitt Street, Alexandria, Virginia 22314) and assessment texts written for more general audiences, such as Frisbie and Ebel's (1990) *Essentials of Educational Measurement* and Mehrens and Lehmann's (1984) *Measurement and Evaluation in Education and Psychology.*

SAMPLE DISTRICT-LEVEL ASSESSMENT POLICY

This sample school district policy addresses the philosophical base, focus, roles, and responsibilities for a comprehensive program.

Definitions of Key Terms

In this policy, three key terms are used extensively. They are defined below to promote complete understanding:

- ASSESSMENT is the process of gathering information that reflects levels of student achievement.
- EVALUATION is the process of judging achievements (results of assessment) to see if they match desired standards.
- GRADING is the process of transforming assessment information into a symbol that communicates the results of an evaluation.

Fig. 12-3 continued on next page

Fig. 12-3

Fig. 12-3 continued

DISTRICT ASSESSMENT PHILOSOPHY

The development, administration, use, and evaluation of assessments in this district shall be guided by the following basic philosophical points:

- Sound assessment is an essential ingredient in high-quality instruction. For this reason, it is paramount that assessment and instruction be integrated at all times.

- All assessment users must have the desire (i.e., incentives), opportunity (i.e., responsibility and time), and resources (i.e., training and support) needed to develop and use sound, instructionally relevant assessment.

- All assessments used in this district will meet four standards of quality. They will: 1) arise from and reflect a clear and specific target; 2) sample that target appropriately; 3) control for extraneous factors that can cause the mismeasurement of achievement; and 4) serve a clearly articulated purpose. All educators in the district will understand these standards and know how to apply them in their own assessment, evaluation, and grading contexts. All assessments not satisfying these criteria will be discarded.

- A wide variety of assessment forms are acceptable in this district, including paper and pencil tests and quizzes, performance assessments (assessments based on observation and judgment), and assessments based on personal communication with students. All district staff and faculty will understand these formats and know how to use them in their own assessment, evaluation, and grading contexts. Given this understanding, teachers and administrators are encouraged to experiment with innovative applications of these methods.

- Whenever possible, assessment procedures will be integrated and coordinated across levels of decision making (i.e., from individual students, to classroom, to building, to district) so as to promote efficient, cost-effective assessment and consistency in communication.

The Focus of Assessment

The focus of assessment in this district will be student attainment or mastery of those foundational skills, abilities, and dispositions (*knowledge, thinking,* and problem-solving processes, achievement-related *behaviors* and skills; *product* development capabilities, and affective dispositions and attitudes) needed to satisfy the ultimate student outcomes listed below.

Those successfully completing our programs will be able to:

- communicate effectively in school, work-related, and social contexts;
- solve problems that arise in everyday school, work, and personal life;

Fig. 12-3 continued next page

Fig. 12-3 continued

- lead safe and healthy school, work, and personal lives; and
- function effectively as part of a team, etc.

(Note: The above are intended as examples and possibilities. Each district will determine its own valued goals.)

All faculty and staff shall take responsibility for articulating in writing how the knowledge, thinking, behaviors, products, and affective targets they teach and assess contribute to student progress toward these outcomes. All assessments not calculated to contribute in a clear and appropriate manner are regarded as unsound and shall be discarded.

Assessment Roles and Responsibilities

Each participant in the educational process listed below is acknowledged to have the right and responsibility to use assessment results to inform the decisions specified. Each user has the responsibility to understand what constitutes sound assessment, the role of assessment in their context, and how to use the resources at their disposal to assure that assessment plays its intended role.

Decision-Maker	**Uses Assessment Results to Define:**
School Board Member	Are district resources being allocated so as to promote goal attainment? Is the superintendent setting and implementing policies that promote goal attainment?
Superintendent	Which goals and enabling targets are being attained and which need attention?
Curriculum Director	Which targets need attention? Which instructional programs need attention?
Principal	Which targets need attention in this building? Which programs need attention? Which teachers need help?
Teacher	Which targets need attention? Which students need help? How shall they be helped?
Student	Which targets need attention? What help do I need?
Parent/Community	What does my child need? What other students, teachers, principals, programs, superintendent, board members need attention?

Fig. 12-3 continued next page

Fig. 12-3 continued

All district staff and faculty will understand their own uses of assessment, the importance of the uses of others, how their uses relate to the uses of others, and what kind(s) of assessment results are needed to fulfill their responsibilities.

Regulatory Implications

It is the responsibility of the superintendent to assure that the conditions required for all to fulfill their assessment responsibilities are met; that is, all educators in the district have the *incentives, opportunity,* and *resources* needed to assess student achievement in a sound and appropriate manner.

Further, it is the responsibility of the superintendent and building administrators to: *hire* faculty and staff who possess all competencies required to fulfill their assessment, evaluation, and grading responsibilities; secure or provide *training* for those currently employed who lack the necessary assessment competence; and institute ongoing staff *evaluation* procedures to ensure the ongoing presence of appropriate levels of assessment competence at classroom, building, and district levels. As a corollary, the superintendent shall take responsibility for assuring that all members of the school board receive the training they need to fulfill their roles as users of assessment information.

Finally, it is the responsibility of the superintendent and principals to maintain a professional environment surrounding assessment, evaluation, and grading in which those unable to fulfill their responsibilities are encouraged to admit this need and obtain appropriate assistance.

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RESOURCE ALLOCATION

DEFINITION

Resource Allocation: Procuring, apportioning, monitoring, accounting for, and evaluating fiscal, human, material, and time resources to reach outcomes that reflect the needs and goals of the school site; planning and developing the budget process with appropriate staff.

To understand resource allocation, it is helpful to conceptualize the terms *resource* and *allocation* separately.

Resources are available means of supply or support that assist in accomplishing goals and meeting needs. Caldwell and Spinks (1986) define resources as culture and knowledge; however, most experts agree with Guthrie, Garms, and Pierce (1988), who define resources as "time, personnel, and materials . . . as well as money" (p. 216). Thomas (1980) suggests that student and parent time is a "nonpurchased resource" that school leaders interested in effective and efficient allocation should consider. Rossmiller (1983) distinguishes between resource inputs and resource applications. Inputs, he says, are the available human and material resources, whereas applications are the "alternative ways resource inputs are mixed to achieve students' educational goals" (p. 174).

Allocation is apportionment for a specific purpose or to particular persons or things. It also is an earmarking of resources for distribution.

According to Guthrie et al. (1988), resource allocation is embodied in a budget, which "represents a plan for the direction of an organization's total discretionary resources . . ." (p. 216) and is determined through a budgeting process. This process is cyclical and includes planning, budgeting, and evaluation, all of which take place within a given time period.

Caldwell and Spinks (1986) link policy-making to resource allocation; Westbrook (1988) links resource allocation to the political process. Hoyle, English, and Steffy (1990) view resource allocation as a twofold process, which examines "the fundamental nature of the enterprise," then discovers and implements "the most effective processes that will realize these purposes" (p. 205).

Thus, resource allocation:

- is a cyclical series of actions or operations that cover a specified time period;
- is anchored to a budget document but encompasses more than dollars; and
- requires leadership to administer the process appropriately, efficiently, and effectively in the learning environment.

LITERATURE REVIEW

What must principals know and what skills must they have to provide the necessary resources for their schools? What resources do they allocate? How do they decide who or what will receive them and in what proportion? In short, what is the resource allocation process and how can it be used to benefit the school?

Hoyle et al. (1990) suggest that to change schools and unlock their potential, principals must think differently about them, because the manner in which resources are allocated must reflect the articulated purposes of the school. Smith and Andrews (1989) state that the principal who provides the necessary resources for achieving the school's academic goals is perceived as an instructional leader. Two issues are of primary importance in this regard: "the value that principals place on the dimensions of their roles and how they allocate time to those various dimensions" (p. 23).

Other researchers offer varying perspectives on the role principals play in allocating resources:

- Hughes and Ubben (1989) believe that the principal's primary tasks are personnel management, communications development, building operation, and budget oversight.

- Caldwell and Spinks (1986) state that school-site budgeting is more complex than district-level budgeting and that principals must understand and employ line-item and work-flow budgets. The former ensures proper spending; the latter enables on-site alterations in program decisions.

- Campbell and Sparkman (1990) stress the importance of identifying resources that contribute to school outcomes and affect school-site budget issues.

- Monk (1989) notes the labor-intensive technologies behind education reform and how schools of the future must employ different strategies in their use of labor and capital.

- Swanson and King (1991) assert that labor is the most critical and costly educational resource and is the most likely to affect and be affected by trends for involving teachers in decision-making processes. They posit that in managing human resources, principals must understand the importance of delegation and provide "leadership in finding and coordinating resources to achieve [a building team's] identified goals." (p. 300)

Principals differ on the importance of resource allocation. A large sample of Texas principals, for example, viewed physical plant management, budgeting, and finance skills as being less important than campus leadership, instructional leadership, and interpersonal relations (Beck, 1987). The results of another sample, however, indicate that principals and American Education Finance Association (AEFA) members perceive school budget administration as the most important school finance topic, although they differed significantly in their opinions on legal issues, accounting principles, and resource allocation ethics (Garber, 1990).

Principals have voiced a need for further training in specific areas of the allocation process. Andrews (1989) reported that first-year principals recommend additional training in time management and in communication with staff who work with parents, budgeting, curriculum, and instruction. Purcell (1987) found that attitudes of principals, their ability to secure resources, and their promotion of the in-service education as a personnel resource were crucial to effective staff development. Saville (1986) suggested that the principal's knowledge of the teacher employment interview is a major human resource element. Specifically, principals must conduct effective interviews, have knowledge and practice in setting up better forms for collecting pre-interview data, have access to or information for understanding the "primae facie" evidence, be aware of unlawful inquiries, and be able to maintain the necessary focus to perform an interview.

THE PROCESS MODEL

In sum, resource allocation is a process that requires principals to:

1) identify needs and determine goals for a specified time cycle;
2) recognize that resources are defined in many ways;
3) plan strategies that result in a budget and the allotment of time, ways, and means to accomplish goals;
4) identify sources of resources and procedures for procuring them;
5) procure appropriate resources to meet goals or satisfy needs;
6) apportion resources to site locations, programs, and personnel groupings;
7) manage resources using accounting, monitoring, and reapportionment, as necessary;
8) evaluate effects of resource apportionment; and
9) judge the validity and implications of evaluation results.

Regardless of the type of resources with which principals are concerned, they must follow a procedure that allows them to maximize inputs and account for their use to achieve goals. Figure 13-1 illustrates this process and is based on the above components.

DETERMINING NEEDS AND GOALS

The resource allocation cycle is driven by the goals principals establish with staff to meet the learning needs of students. Regardless of the resources required, principals must procure available resources, apportion them among various school programs, manage them, and evaluate their use, all within a given cycle of time. Evaluation of outcomes fuels goal development within the next cycle and affects strategies to be employed in the procurement, appropriation, and management of subsequent resources.

PLANNING

Planning is the systematic determination of future resource allocation (Guthrie et al., 1988). According to Keith and Girling (1991), a financial plan translates intentions into resource allocation that reflects the school's priorities. This translation includes the elements of procurement and apportionment. The first step in the resource allocation process requires principals and their colleagues to determine the procedures and means to meet prede-

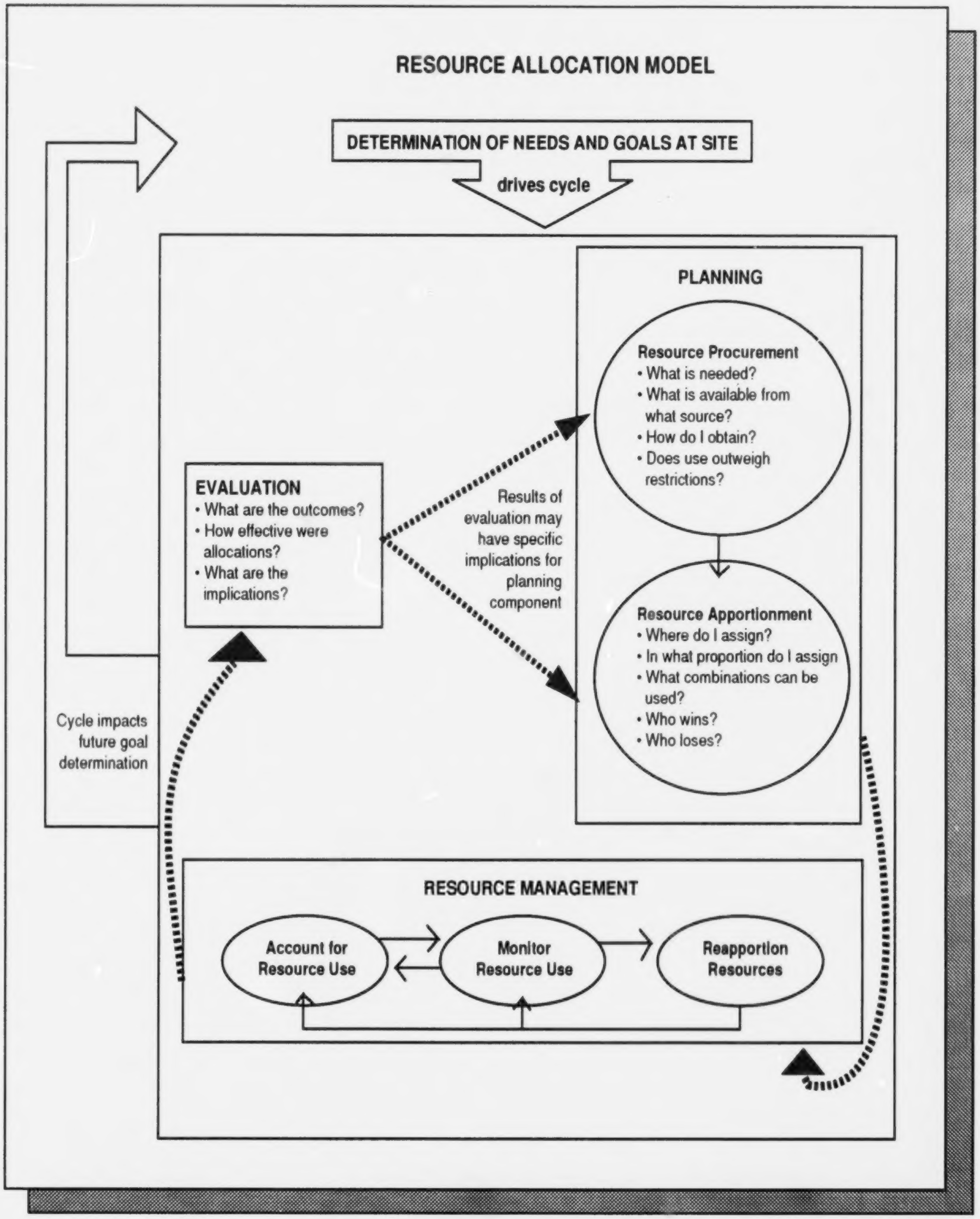
RESOURCE ALLOCATION MODEL
DETERMINATION OF NEEDS AND GOALS AT SITE
drives cycle
PLANNING
Resource Procurement
• What is needed?
• What is available from what source?
• How do I obtain?
• Does use outweigh restrictions?
EVALUATION
• What are the outcomes?
• How effective were allocations?
• What are the implications?
Results of evaluation may have specific implications for planning component
Resource Apportionment
• Where do I assign?
• In what proportion do I assign
• What combinations can be used?
• Who wins?
• Who loses?
Cycle impacts future goal determination
RESOURCE MANAGEMENT
Account for Resource Use
Monitor Resource Use
Reapportion Resources

FIG. 13-1

termined needs and goals for a specified time period.

Procurement: Procuring resources precedes their apportionment and distribution. Principals must ask themselves what specific resources are needed and where and how the fiscal, personnel, and material resources can be obtained. The amount, type, and quality of resources will vary according to the principal's skill in identifying and obtaining the resources.

Apportionment: According to Guthrie et al. (1988): "Budgets are the financial crystallization of an organization's intentions. It is through budgeting that decisions are made about how to allocate resources to achieve goals" (p. 216). Principals, who often work with budget committees in this stage of the planning process, assign resources to programs and sites as they answer questions such as: How much? What combinations are optional? Who gains? Who loses? Apportionments often are reflected in the budget document. Resources like student and parent time may require supplemental documents, schedules, or procedures.

RESOURCE MANAGEMENT

During this phase of the cycle, principals must:

1) account for procured and apportioned resources;

2) monitor resource arrival, resource use, and resource storage and retrieval; and

3) reapportion unused or underused resources during the school year.

These three elements are separate yet interdependent. To understand and employ each, principals must have a broad knowledge base and sizeable skill bank.

Accounting for Resources: This element provides information that initiates monitoring procedures and is dependent upon data from the monitoring element (see Monitoring Resource Use below). Principals must establish consistent and accurate procedures for record-keeping, reporting, auditing, and maintaining up-to-date inventories of resources at the school site. In many cases, these methods reflect district policy; in other cases, they are site-specific.

Monitoring Resource Use: This element provides data for the accounting element above as well as for the reapportionment element below. All resources that have been apportioned or assigned must be monitored. Principals use formal and informal procedures in their observations and in data collection. They monitor teacher-student ratios and interactions; the use of paraprofessionals; the number of parent and community volunteers; the frequency and amount of their nonpurchased time, equipment, material consumption; storage practices; year-to-date expenditures; and expenditure patterns of allotted fiscal resources. Synthesis and analysis of these data is useful to reapportioning resources during the time cycle.

Reapportioning Resources: If they are to manage resources efficiently and effectively, principals must reassign those that are unused, misused, or underused. Reapportionment depends on the data collected through consistent, competent, and thorough monitoring of resource use. Resource reassignment leads to additional accounting and monitoring efforts.

EVALUATION

Guthrie et al. (1988) state that "Evaluation involves assessing the outcomes of one or more events, making judgments regarding effectiveness, and providing information that can shape future decisions" (p. 216). Before initiating a new resource allocation cycle, principals must determine the degree to which their planning and management satisfied the needs and goals established in the current cycle. Feedback, therefore, is essential.

Near or at the end of the cycle, assessments and evaluation results feed into the identification of needs and the establishment of goals for the school's next allocation cycle. Past performance data influence not only goal determination, but also resource procurement and apportionment strategies (e.g., which resources should be continued, augmented, downgraded, or shifted).

KNOWLEDGE AND SKILLS

The knowledge and skills necessary to assess needs and formulate goals are developed in Domains 1, 2, and 4 (Leadership, Information Collection, and Judgment, respectively). After working with others to determine school needs and goals, principals develop a plan to procure and apportion needed resources, manage them throughout the school term, and evaluate the outcomes of this apportionment. Information gathered throughout the year and included in the summary evaluation directs principals in the definition of needs and goals and subsequent resource allocation.

PLANNING

This stage includes the procurement and apportionment of resources that will meet the goals and needs established for the time cycle. Planning models borrowed from business management—Planning, Programming, Budgeting, Evaluation System (PPBES), Program Evaluation and Review Technique (PERT), zero-based budgeting, Gantt charts, multiyear costing techniques, forecasting and projection techniques, and quantitative analysis of alternatives (e.g., cost-benefit and cost-effectiveness analyses)—may enhance the principal's ability to plan for the procurement and apportionment of resources. Hoyle et al. (1990) report that successful adaptations of some of these models have resulted in simplified reporting procedures and easy-to-understand budget documents.

Principals must be able to develop a budget that reflects staffing and facility requirements and the program needs that parent, student, and community members agree are relevant and appropriate. Principals must be knowledgeable about specific statutes and state and district regulations governing the budget process. They also need the skills to assess staff and community desires, to develop marketing and public relation programs, to make computer projections, and to plan strategies for enhancing interpersonal relations. Principals who apply the planning stage are more likely to attain what Guthrie et al. (1988) call allocative efficiency—the ability to allocate resources to meet client and organizational needs and goals.

Resources are defined broadly and include not only dollars but the services and objects purchased with dollars. Therefore, selected knowledge and skills pertaining to other domains (e.g., Domain 5, Organizational Oversight, Domain 8, Instruction and the Learning Environment, and Domain 11, Staff Development) are useful in the planning component.

Effective behaviors of principals include:

- surveying historical, current, and future demographic data for the school site;
- incorporating needs assessment into project planning;
- establishing a system for prioritizing competing claims for resources;
- using project planning charts;
- employing "if this, then that" computer procedures to assess alternative allocations;
- considering internal and external sources of funding, personnel, and material acquisition;
- considering district procedures relative to building improvements;
- developing building staffing plans;
- planning marketing strategies to maximize goal-related student activities;
- creating a planning cycle for the purchase and replacement of materials and equipment; and
- weighing alternative possibilities using varied apportionments.

Ineffective behaviors of principals include:

- increasing the yearly budget through the incremental budget process only;
- not considering the site's need

to innovate and experiment; and
- not considering multiyear projects in planning allocation procedures.

PROCUREMENT

Principals who intend to obtain fiscal, personnel, and material resources rely on a variety of knowledge and skills. These include:

- knowledge of traditional and nontraditional funding sources;
- knowledge of district discretionary funding policies;
- knowledge and skill in purchasing and requisition procedures;
- skill in grant seeking and grant writing;
- knowledge of community resource pools (e.g., elderly and teen volunteers, potential business partnerships, social agencies open to collaborative service offerings, etc.);
- skills related to marketing that may increase resource support at the school site; and
- skills in staff recruitment relative to district policies and practices, including staff interview and selection procedures.

In addition, the knowledge and skill bases underlying the four contextual domains—Philosophical and Cultural Values, Legal and Regulatory Applications, Policy and Political Influences, and Public Relations (Domains 18–21, respectively)—may influence resource procurement.

Effective behaviors of principals that relate to *fiscal* procurement include:

- seeking funding from district and external sources;
- initiating business support for school projects;
- encouraging teachers to apply for classroom teaching grants;
- seeking appropriate and required services from social service agencies;
- creating a purchase and replacement cycle for materials and equipment;
- using published data bases (e.g., *Education Interface* by the American Association of School Administrators) to draw on sources of resource support;
- seeking appropriate federal grants; and
- seeking matching grants from the district or state.

Effective behaviors of principals that relate to *human resource* procurement include:

- differentiating among personnel services required (e.g., psychological services, remedial, counseling, etc.);
- drawing on their internal personnel pool for potential candidates for positions;
- evaluating schedules for potential savings in student and staff time; and
- seeking community volunteers for school needs.

Effective behaviors of principals that relate to *material* procurement include:

- using inventories to justify purchases;
- completing purchase requests for replacement of materials and equipment;
- submitting an annual list of needed materials and equipment; and
- establishing criteria for selecting materials and equipment.

Ineffective behaviors of principals that relate to *fiscal* procurement include:

- ignoring guidelines governing purchases for special state and federal programs;
- failing to coordinate the purchase of supplies and equipment with the central office;
- disregarding data bases that provide multiple sources of support;
- overlooking timeliness for purchases; and
- failing to develop a strategy for engaging extracurricular fundraising.

Ineffective behaviors of principals that relate to *human resource* procurement include:

- failing to be apprised of services available to students and required of social agencies outside the school;
- ignoring potential sources of human intervention in problems; and
- not using central office personnel to the best advantage.

Ineffective behaviors of principals that relate to *material* procurement include:

- failing to consider vendor incentives that would allow savings;
- ignoring previous timelines for securing scarce supplies; and
- having no concept of the overall consumption rate of building supplies and service needs.

APPORTIONMENT

Skill in the efficient yet equitable distribution of resources is important. Principals, therefore, must be knowledgeable of state laws, district regulations, and negotiated contract restrictions that govern the assignment and the use of resources. They also must understand the rationale for building contingency funds, have knowledge of costing concepts (e.g., delayed costs, opportunity costs, controllable and uncontrollable costs, unit costs, average costs, and marginal costs), and be skilled in involving subordinates with the decision-making process. In addition, in the wake of greater parent and student choice among schools and programs, principals must be able to attract new clients, to match the strengths of teachers with the needs of students, and to establish activities that support curricular and cocurricular programs.

Effective behaviors of principals include:

- assigning material and equipment according to established criteria;
- linking essential materials to program goals;
- establishing a contingency fund for a portion of fiscal resources;
- balancing department allotments;
- suggesting and encouraging personnel transfers when appropriate;
- retrieving and moving in and out of use stored materials and equipment;
- developing guidelines and timelines for grant expenditures; and
- initiating a volunteer program to supplement on-task reading time among students.

Ineffective behaviors of principals include:

- using incremental budget procedures to assign resources;
- failing to discriminate among the needs of recipients;
- failing to consider long-range implications of apportionments;
- being secretive in the manner in which apportionment is made;
- deciding arbitrarily about resource apportionment; and
- waiting for staff members to initiate resource procurement.

MANAGEMENT OF RESOURCES

Managing resources includes accounting for, monitoring, and reapportioning resources as necessary during the specified time cycle. Harris and Dawes (1988) report that building-level administrators must be responsible for: the building's fiscal and electronic services; the coordination of custodial operations; the coordination of local food service operations; space management; school safety and security; storage and purchasing management; cooperation with the central office transportation program; and management of pupil and teacher personnel, and clerical support staff.

Accounting: Accounting for resources is more than fiscal accounting. It includes accountability for materials, equipment, and personnel assignments and performance. Principals must be knowledgeable about state and district regulations governing fiscal accounting. They must be familiar with the district's accounting system and language and its reporting, auditing, and inventory procedures so they can maintain accurate records of the resources purchased, received, expended, stored, and wasted during a given time period. Principals also must be able to provide written reports to external funding agencies and to account for "soft" money received. In addition, they must furnish periodic accounts to central office personnel, to parents, and, ultimately, to the school board and community members.

Effective work schedules and time plans can serve as accountability measures for staff assignment. Documentation from personnel monitoring practices provides accountability for staff performance. Knowledge and skills in the Organizational Oversight, Implementation, and Delegation domains (Domains 5, 6, and 7, respectively) also support this phase of the resource allocation process.

Effective behaviors of principals include:

- specifying records that must be maintained to account for expenditures;
- retaining multiyear inventories of materials and equipment;
- keeping files of custodial and food service personnel schedules;
- maintaining internal ledger accounts for activity funds;
- maintaining daily records of cash received at the site;
- making regular deposits of cash received at the site;
- submitting required reports to the central office;
- preparing monthly and yearly financial statements for the school;
- examining year-to-date reports with appropriate staff or departments;
- identifying building-level budget codes;
- coding expenditures by accepted district system;
- developing guidelines for grant expenditures;
- meeting granting agency report calendars;
- preparing reports for external granting agencies;
- documenting meetings, requests, accolades, and reprimands;
- duplicating correspondence concerning interagency collaboration efforts;
- completing a space utilization report by program; and
- maintaining vigilance over the transportation budget for extracurricular activities.

Ineffective behaviors of principals include:

- failing to maintain documents and records;
- failing to issue receipts for cash received;
- keeping receipts in the cash box over the weekend;
- disregarding the need for a periodic site-level audit; and
- failing to delegate routine fiscal procedures to appropriate staff.

Monitoring Resource Use: The intent of monitoring is to affirm apportionments, guard against ineffective allocation, and intervene with appropriate resources when faced with unexpected challenges. Accordingly, principals must be knowledgeable and skilled in building and space management, security and safety measures, information collection, and time management.

Effective behaviors of principals include:

- demonstrating current knowledge of student academic progress;
- using spreadsheets to track changes and patterns in resource use;
- tracking school–business partnership activities;
- reporting the percentage of unexpended program dollars;
- recognizing when expenditures in an activity area deviate from past norms;
- overseeing activity sponsors' cash collection and reporting procedures;
- seeking and expecting informal feedback from mentors serving as resources to new staff members;
- tracking the use of part-time personnel;
- reviewing job descriptions on a periodic basis;
- maintaining data on employee absenteeism;
- logging grievance issues and grievance frequencies;
- determining and documenting levels of staff performance;
- conducting personnel evaluations;
- encouraging staff to use periodic self-assessments;
- monitoring class enrollments;
- monitoring student participation in cocurricular programs;
- monitoring the expected life span of equipment;
- noting the overuse and underuse of the school building;
- noting peak computer usage periods;
- regulating the building maintenance plan;
- reviewing building security policies meant to safeguard resources; and
- making periodic alterations of key systems and computer entry codes.

Ineffective behaviors of principals include:

- having no regular review of resource allocation in place;
- being inconsistent in monitoring staff duties;
- being unaware that security codes have been shared with unauthorized personnel;
- failing to halt unapproved staff member purchases;
- ignoring the need for monitoring chemical disposal; and
- having no system for monitoring the custodial care of the building.

Reapportionment of Resources: Knowledge and skills required for this element are similar to those relating to apportionment. The ability to assimilate information quickly, make decisions, and implement change also is required to reapportion resources midcycle.

Effective behaviors of principals include:

- reprioritizing administrative tasks after self-assessments;
- canceling or supplementing programs or activities in re-

sponse to midyear assessment;
- redirecting community volunteers as necessary;
- shifting department funding emphases in response to cross-department collaboration;
- shifting in-service emphases in response to emerging needs;
- altering schedules in response to current information;
- seeking new funding for unforeseen emergencies; and
- reassigning equipment as necessary.

Ineffective behaviors of principals include:

- ignoring the need to shift in-service emphases in response to emerging needs;
- assuming a "start-up" plan will guide resource allocation for the school year; and
- being indecisive about changing student class assignment when a situation is counterproductive to learning.

EVALUATION

The purpose of an evaluation is to collect highly objective data that indicate change in specified areas. Principals need to know how to develop surveys that accurately assess attitude changes among students, staff, and parents; use academic progress data to ascertain if academic goals are being met; and determine the impact of secondary elements on the allocation cycle. Neal (1991) defines secondary elements as student attendance, suspensions, expulsions, staff absenteeism, and teacher turnover. Principals should have skill in preparing questionnaires, doing telephone interviews, and drawing a sample to have varied and reliable evaluation data. Principals might consider employing the quantitative analyses used in the planning phase (i.e., cost-effective analysis) to evaluate the results of an implemented allocation.

Effective behaviors of principals include:

- synthesizing and summarizing documented information gathered during the school year;
- defining evaluation procedures in the planning stages of the resource allocation cycle;
- using cost-effective analysis to quantify evaluations;
- projecting consequences of maintaining present apportionment; and
- appraising forms for clarity, purpose, appropriateness, degree of complexity, and economy of use.

Ineffective behaviors of principals include:

- failing to engage staff in the periodic assessment process;
- failing to request feedback from central office personnel;
- disregarding information provided by individuals;
- being unable to identify areas of budget inadequacy;
- failing to consider the impact of

time allocation on effectiveness of personnel and material allocations; and
- failing to identify why goals were not met.

PERFORMANCE STANDARDS

After completing this domain, principals should be able to:

1) design resource allocation systems;
2) describe the role of resource allocation in meeting school goals;
3) identify various nontraditional resources available to schools;
4) design a strategy to gain resources from nondistrict sources;
5) describe the relationship of resource procurement to resource appointment;
6) design a monitoring and reapportionment system for resource use;
7) develop an accountability system for resource use;
8) connect resource allocation to student outcomes;
9) develop a system for staff participation in determining goals, apportioning resources, and evaluating use of resources;
10) develop and administer a school budget and an activities budget;
11) define resources as human and material as well as fiscal;
12) employ technical procedures such as spreadsheets, planning charts, and program budgeting;
13) develop a school purchasing system; and
14) design and administer a materials and equipment inventory system.

EDUCATION AND TRAINING

Education and training for this domain may proceed according to the methods suggested below.

TRAINING METHODS

Trainees should be provided with increasingly complex opportunities to blend knowledge and skills related to resource allocation and should progress from a receptive to a more expressive framework. Learning situations employing a receptive mode require students to identify, label, and sort information related to allocating resources. Situations employing an expressive mode ask students to develop, devise, formulate, and frame responses to a given situation.

Training should include a combination of lecture, discussion, case study analysis, and simulations. Through lectures and discussions, trainees will hear, identify, and sort information. Through case study analysis, they will identify specific procedures, label strategies, and provide rationales for decisions about which they have read. Through simulations, trainees will engage the steps in the resource allocation cycle: They will initiate strategies for procuring resources, apportion resources, and identify methods and strategies for monitoring personnel, material, and fiscal resources within a time cycle. Trainees should support their decisions through artifacts that demonstrate their knowledge of and skills in forecasting, accounting, evaluating, etc.

TRAINING CONTENT

A survey of a sample of 42 principals and 24 superintendents (LaCost & Grady, 1991) yielded numerous content-specific suggestions to be included in university principal preparation programs. A summary of survey responses is offered below.

Formal Training: Preparation programs should:

- involve students in the resource allocation process as soon as possible and give them first-hand experience;
- provide coursework on site-based management and budgetary development;
- provide information about teacher empowerment and participatory management in budget construction;
- follow the budgetary process from teacher requests to schoolwide improvement recommendations;
- include instruction in in-service budgeting for teaching staff and ancillary staff, planning for aides and contracted employees (e.g., music accompanists), and budgeting for cocurricular programs, assemblies, special projects, and summer school;
- provide a full understanding of the entire operation of the school (e.g., fiscal, personnel, managerial); and
- engage trainees in the budgeting process schoolwide. Trainees must know the source of budget dollars. They must know taxpayers' views, how to find tax levies, and what tax revenues are available. They also must understand that a budget needs to be realistic.

Experiences: Preparation programs should:

- provide simulations in the classroom;

- require participation in allocation of resources to a particular organization;
- involve trainees in the decision-making process via practicum or class simulations;
- enable trainees to work with a mentor in a real school setting; and
- provide practical experiences that allow trainees to work with allocating limited financial resources among a variety of competing needs.

Skills: Preparation programs should:

- provide special emphasis on staff and department chair involvement;
- teach trainees to be competent in the use of the computer;
- have trainees develop and defend a building budget as well as administer it;
- have trainees apply budget information for staff development; and
- have trainees calculate detailed costs of instruction, support systems, materials, equipment, and extracurricular and administrative services.

Resources: Preparation programs should:

- have trainees develop a guide to preparing for the new year.

MEASUREMENT PROCEDURES

Several of the skills used in the resource allocation process are quantifiable; others are appropriate for direct observation by trainers. Accordingly, it is recommended that skills that are easily measurable be separated from those that are not. Specific tests and standards can then be devised.

Measurable skills include accounting techniques, report writing, and quantifiable planning and evaluation procedures (e.g., cost analysis). For skills that do not lend themselves to specific measurement (e.g., the preparation of planning charts that might produce several acceptable alternatives), and for skills that require interpretation before measurement, the multimodal approach outlined in Fig. 3-1 ("Process Model of Effective Problem Analysis") in Domain 3, Problem Analysis, can be employed.

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III. INTERPERSONAL DOMAINS

These domains recognize the significance of interpersonal connections in schools. They acknowledge the critical value of human relationships to the satisfaction of personal and professional goals, and to the achievement of organizational purpose.

MOTIVATING OTHERS

DOMAIN 14

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MOTIVATING OTHERS

DEFINITION

Motivating Others: Creating conditions that enhance the staff's desire and willingness to focus energy on achieving educational excellence; planning and encouraging participation; facilitating teamwork and collegiality; treating staff as professionals; providing intellectual stimulation; supporting innovation; recognizing and rewarding effective performance; providing feedback, coaching, and guidance; providing needed resources; serving as a role model.

A staff that is motivated and committed to educational excellence is an integral part of an effective school. Principals who understand this know that they play a key role in creating work environments that enable staff to do and be their best. Such principals treat staff professionally and respectfully. They provide them with challenging opportunities and intellectual stimulation. They recognize and reward good performance, encourage participation and innovation, provide feedback and resources, and facilitate teamwork and collegiality. Perhaps more importantly, they serve as role models, for it is by practicing what they preach that they inspire and motivate others to achieve equally high work standards and to work enthusiastically toward school goals.

LITERATURE REVIEW

Numerous work motivation theories are found in the literature (Pinder, 1984). Most fall within two categories: content theories and process theories. The former focus on what motivates people, while the latter focuses on how behavior is initiated, sustained, and discontinued. This domain draws on both theories, for each contributes to an understanding of how principals can motivate others.

Both theories have generated models for motivating others. Figure 14-1 presents the job characteristic model of work motivation (Hackman & Oldham, 1976). This content-oriented model notes the three psychological states that are critical to determining a person's internal motivation, performance, and satisfaction. They are: experienced meaningfulness of work, experienced responsibility for work outcomes, and knowledge of actual results of work activities.

According to the model, job characteristics influence the degree to which these psychological states are experienced. By shaping job characteristics—and, thereby, the psychological states of personnel—principals can enhance motivation. The model also indicates that the relationship among job dimensions, psychological states, and work outcomes is stronger for individuals who have a higher need for continued growth and development.

Figure 14-2 presents a work motivation expectancy model (Lawler, 1973; Porter & Lawler, 1968). This process-oriented model postulates that motivation is a function of expectancy (the probability that increased effort will lead to better performance), instrumentality (the probability that better performance will lead to rewards), and valence (the perceived attractiveness or worth of the reward). The model suggests that principals can enhance motivation by strengthening effort-performance and performance-reward probabilities.

Research on effective principals (Leithwood & Montgomery, 1986), strategies principals use to influence teachers (Blase & Kirby, 1991), and workplace effects on teacher commitment and satisfaction (Rosenholtz, 1989) fit well with strategies for increasing staff motivation, as suggested by these two models. General research on what leaders do to enhance motivation and commitment of followers suggests similar strategies (Bass, 1985; Kouzes & Posner, 1988a). Others also have used these models to understand motivation within educational organizations (Hoy & Miskel, 1982; Sergiovanni, 1987).

THE CONTENT MODEL

The job characteristics of work motivation, as presented in Fig. 14-1, are described below.

ENHANCING THE MEANINGFULNESS OF WORK

People are more highly motivated when they experience their work as important, valuable, and worthwhile. Engaging in challenging work that draws on a variety of skills contributes to the perceived meaningfulness of the work; so, too, does the belief that one's job is an integral part of a larger un-

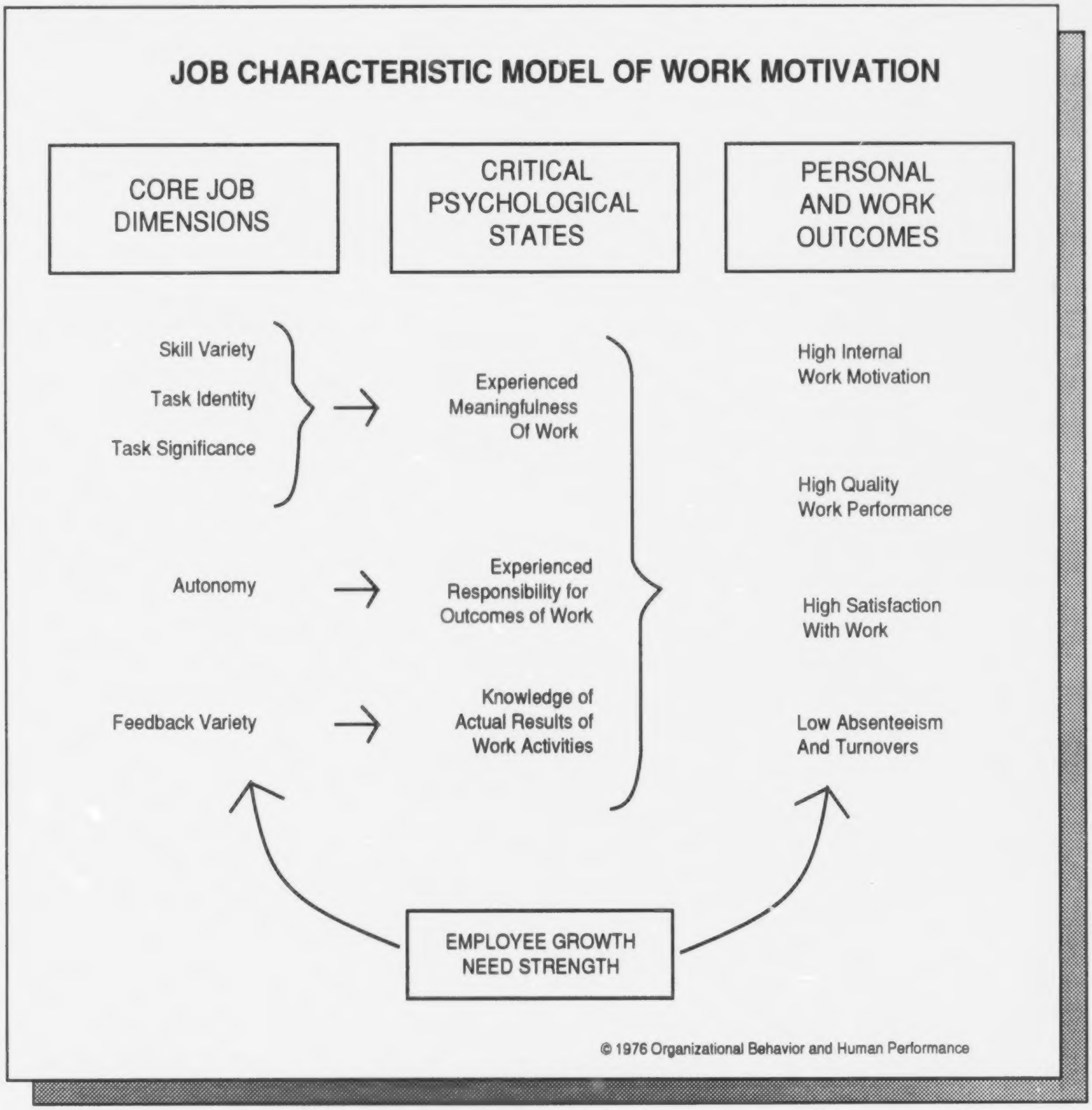
JOB CHARACTERISTIC MODEL OF WORK MOTIVATION
CORE JOB DIMENSIONS
CRITICAL PSYCHOLOGICAL STATES
PERSONAL AND WORK OUTCOMES
Skill Variety
Task Identity
Task Significance
Experienced Meaningfulness Of Work
Autonomy
Experienced Responsibility for Outcomes of Work
Feedback Variety
Knowledge of Actual Results of Work Activities
High Internal Work Motivation
High Quality Work Performance
High Satisfaction With Work
Low Absenteeism And Turnovers
EMPLOYEE GROWTH NEED STRENGTH

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Fig. 14-1

dertaking. For teachers, the latter is tied to feeling that they are active participants in an educational community rather than lone actors in an isolated classroom. The degree to which the work affects the lives and work of others also contributes to its perceived meaningfulness.

Accordingly, principals should ensure that staff are doing work they consider meaningful. Principals can accomplish this by providing intellectual stimulation and challenging professional opportunities and by encouraging and facilitating teamwork and collegiality among staff. Perhaps more importantly, they can stress the important influence staff have on children.

ENHANCING RESPONSIBILITY FOR WORK OUTCOMES

Individuals are more motivated when they feel personally responsible and accountable for the results, or outcomes, of their work. Jobs that allow discretion and independence contribute to a higher sense of responsibility. Giving staff discretion requires that they exercise professional judgment. As a result, they become the primary causal agents in their work outcomes. Involving them in school-level decisions allows them to become causal agents in their schools and gives them more control over the factors that influence their work. Motivation also is enhanced when staff have close bonds with students and parents. Such staff know how best to serve their "clients" and feel responsible for providing them with good service.

Principals facilitate the above by involving staff in the decision-making process (e.g., seeking their suggestions and advice through formal meetings or informal encounters). They also grant staff a fair amount of discretion and independence (e.g., by allowing staff to teach in ways teachers deem appropriate). In addition, they encourage the building of close relationships among teachers, students, and parents. (See Domain 1, Leadership.)

PROVIDING KNOWLEDGE OF RESULTS

To maintain motivation, individuals need to know how they are performing and how their performance can be improved. This understanding comes from feedback and reflective practice. Feedback is especially important in education because there is much uncertainty about what teachers do and what students learn (Blase & Kirby, 1991).

In schools, knowledge of staff performance is based primarily on self-evaluations and evaluations conducted by others. It is important, therefore, that principals provide feedback through formal and informal evaluation procedures. Principals also should put into place systems and processes for assisting teachers with reflective practice and for obtaining feedback from peers, parents, and other sources.

THE PROCESS MODEL

As indicated above, the process model considers motivation to center on initiating and sustaining desired behavior. It views increased effort as leading to better performance, which, in turn, leads to rewards. Thus, principals can motivate staff by strengthening the effort-performance-reward formula in schools. (See Fig. 14-2.)

SHAPING EFFORT-PERFORMANCE EXPECTATIONS

Individuals will exert more effort if they believe that doing so will lead to improved performance. This belief is shaped, in part, by an individual's past experience and personal characteristics (e.g., self-esteem). However, it also is influenced by the individual's present situation and, more particularly, by what others communicate about the probability of success.

Principals can strengthen effort-performance expectations by communicating performance standards frequently and consistently, and by expressing confidence in the ability of staff to meet these

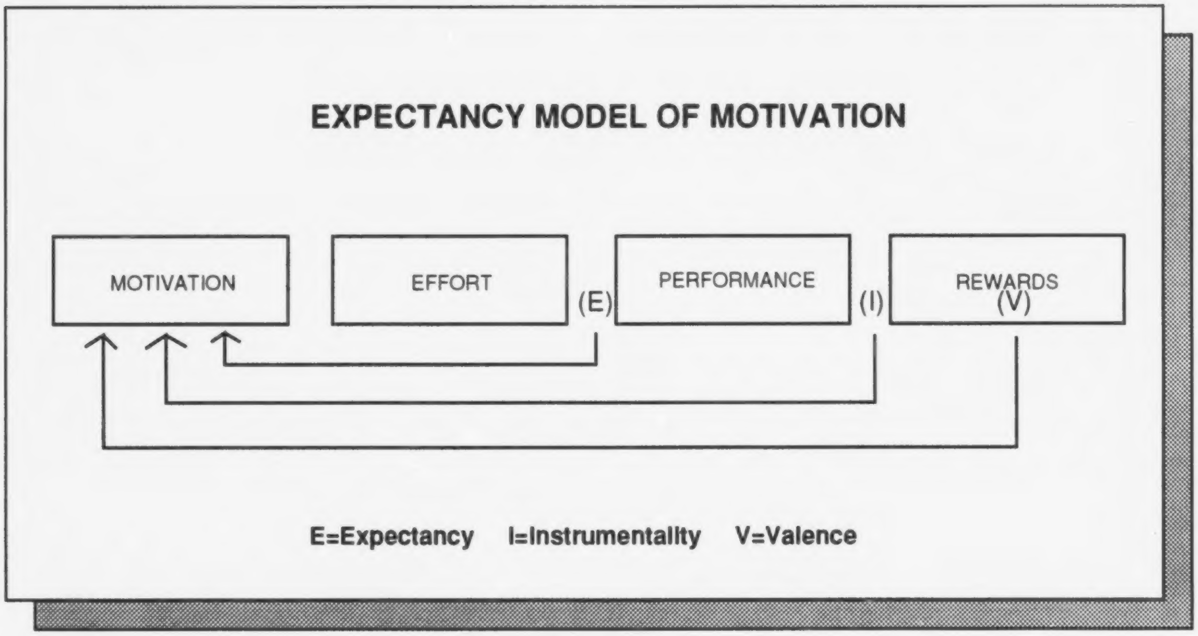

Fig. 14-2

standards. Principals also communicate expectations and probabilities of success by serving as role models whose actions prove that high performance standards are achievable.

To help staff channel their efforts more productively, principals assist with goal setting and reward those whose goals show personal initiative. They encourage staff to be reflective about their own practices. They ensure that staff have adequate resources so their efforts will not be in vain. Finally, principals can help staff members develop their knowledge and skills through staff development activities, including coaching and on-the-job training, among others. (See Domain 11, Staff Development.)

SHAPING PERFORMANCE-OUTCOME EXPECTATIONS

Motivation also is dependent upon what an individual expects to get as a result of good performance. This expectation is shaped, in part, on past experiences; behaviors that have led to valued outcomes will be continued in order to maintain the outcomes. Thus, principals can shape performance-outcome expectations by giving staff experiences in which good performance leads to valued outcomes.

To accomplish this, principals first must be aware of the work outcomes valued by different staff members. They then can tie appropriate rewards to the meeting of those expectations. These rewards include acknowledging good work, recognizing individual contributions, celebrating accomplishments, providing bonuses and released time, etc.

KNOWLEDGE AND SKILLS

Effective principals motivate their staffs to achieve personal, professional, and educational excellence. In doing so, they draw on the five clusters of knowledge and skills outlined below. For each cluster, effective and ineffective behaviors are noted.

ENHANCING THE MEANINGFULNESS OF WORK

Providing Job Challenge: Effective principals monitor the degree to which staff feel challenged by their work. They design positions that require a variety of challenges rather than highly repetitive tasks. They move staff members into positions or add job responsibilities that provide them with opportunities to learn new skills. They keep teachers intellectually stimulated by exposing them to educational innovations and new ideas, by encouraging them to share and discuss new curricular and instructional ideas, and by asking them to challenge their personal assumptions and to support their opinions with reasoning and evidence.

Encouraging Teamwork and Collegiality: Effective principals design school schedules to allow time for teacher interactions. They encourage teachers to use this time for joint planning and problem solving and the sharing of teaching strategies. They use staff meeting time to discuss and deliberate educational issues. They also create teams of teachers to work on special projects.

Emphasizing Significance of the Work: Effective principals remind staff that their work contributes to an important end: the education of children. They articulate to staff the conviction that schools can have a major, positive impact on society.

Behaviors: Examples of effective behaviors for this cluster include:

- involving teachers in a variety of activities, including research, curriculum planning, instructional module development, and the design and implementation of professional development activities;
- speaking enthusiastically about the importance of the staff's work;
- sending teachers to other schools to observe innovative programs; and
- arranging for teachers to share their best practices with each other.

Examples of ineffective behaviors include:

- structuring work schedules that allow teachers little or no time to consult or problem solve with each other; and
- using staff meetings only to disseminate administrative information.

ENHANCING RESPONSIBILITY FOR WORK OUTCOMES

Taking a Participative Approach to Decision Making: Effective principals involve staff in decisions about school policies, plans, and practices. They ask staff for their opinions, suggestions, and advice in meetings and in chance encounters. They create forums through which staff members work together to solve problems and make important decisions. They involve staff in the hiring process.

Just as importantly, effective principals are aware of staff members' preferences for involvement. They understand that there is a "zone of acceptance" (Hoy & Miskel, 1982) and that staff may prefer not to be involved with certain issues because they lack the necessary expertise or because they feel the issues are not especially relevant to their work. Forcing staff involvement can backfire, causing resentment among staff for wasting their valuable time.

Allowing for Individual Discretion: Effective principals allow staff a fair amount of discretion in carrying out their daily activities. They encourage staff to exercise independent judgment and are not constantly looking over staff members' shoulders. Nevertheless, effective principals realize that staff members vary in their readiness for autonomy; experience and competence make some members more willing or able to work independently. Effective principals adjust the amount of discretion they allow. They grant autonomy in conjunction with other motivational strategies that increase the probability that autonomy will be used creatively and productively. These strategies include: communicating performance expectations frequently and consistently; involving staff in planning and goal setting; and providing staff development activities that develop skills, shared norms, and common goals (Blase & Kirby, 1991).

Encouraging Close Relationships with Parents: Effective principals articulate to staff the importance of interacting and communicating with parents. They make time available for parent-teacher conferences and create events that bring parents and staff together. In addition, they make time in their own busy schedules for parent contact and encourage parents to contribute their time and energies to the school.

Behaviors: Effective behaviors of principals include:

- setting up staff committees to review school policies and to propose necessary changes;
- creating many opportunities for parent-teacher interactions;
- treating teachers as professionals by conveying outcome expectations but leaving details to their discretion; and
- using staff meetings to brainstorm about solutions to school problems.

Ineffective behaviors of principals include:

- being unwilling to relinquish control over schedules, work methods, or evaluation procedures; and
- asking for, but rarely using, staff input when making decisions.

PROVIDING KNOWLEDGE OF RESULTS

Providing Personal Feedback: Effective principals provide performance feedback through informal interactions and formal evaluations. Their feedback is candid, timely, and specific. They make ample use of positive feedback but are quick to let staff members know when their performance is unacceptable.

Maintaining Feedback Systems: Effective principals ensure that performance evaluation processes are in place in their schools. They work with staff to select and implement procedures that generate feedback, such as assessment centers or paper and pencil confidential feedback instruments. They also develop systems for collecting data on school performance (e.g., student learning and parent satisfaction).

Behaviors: Examples of effective behaviors for this cluster include:

- observing teachers in the classrooms and offering them encouragement and suggestions;
- encouraging teachers to observe and give each other feedback;
- offering staff opportunities to attend workshops that give them confidential feedback on their strengths and weaknesses; and
- assisting reflective practice.

Examples of ineffective behaviors include:

- not setting up performance evaluation processes;
- focusing only on what needs improvement when providing feedback; and
- giving performance feedback only once a year.

SHAPING EFFORT-PERFORMANCE EXPECTATIONS

Articulating Performance Expectations: Effective principals work with staff to formulate criteria for effective performance. They communicate these expectations consistently and frequently and express confidence in the staff's ability to meet high work standards.

Serving as Role Models: Effective principals model performance expectations through their behaviors and actions. They work enthusiastically toward goals, meet deadlines, and hold their work to high standards. They are aware that staff members are observing them to see if they "practice what they preach" and are able to monitor their own actions to ensure that they reflect school standards.

Enhancing Individual Productivity: Effective principals find ways to help staff members improve their work effectiveness. They have staff set work and self-development goals. They provide opportunities for formal education and training, as well as on-the-job coaching. They encourage staff to talk to them about the obstacles they encounter. They also listen to staff concerns and try jointly to solve problems. In addition, effective principals serve as resource advocates for their schools. They lobby for district funds for textbooks and materials, for exemptions from bureaucratic rules that hinder new programs or practices, for volunteers to free teachers so teachers can have more time for their professional duties, and for experts to provide advice when internal expertise is lacking.

Behaviors: Examples of effective behaviors for this cluster include:

- holding meetings to discuss the importance to the school of a new project and to express confidence in the staff's ability to handle it;
- meeting with staff members individually to explain performance expectations clearly; and
- attending staff development activities with teachers to increase personal learning and to stress, through modeling, the importance of these activities.

Examples of ineffective behaviors include:

- having staff members set personal goals but not following up on the resource implications of these goals;
- being unavailable to teachers; and
- assigning teachers duties but showing little personal interest in their implementation.

SHAPING PERFORMANCE-OUTCOME EXPECTATIONS

Being Aware of Valued Rewards: Effective principals are aware of what various staff members find rewarding: what their needs are, what they want to accomplish, which rewards they find important, which rewards reinforce good performance, and which rewards have little impact.

Linking Rewards to Performance: Effective principals provide both tangible and intangible rewards for effective performance. They give personal praise and public recognition in appreciation for a job well done. They hold special events to honor student and staff achievements and offer symbolic rewards, such as trophies, buttons, or citations. They also look for opportunities to provide tangible rewards, such as promotions, released time, desired assignments, and even preferred parking spaces. They celebrate and express pride in the accomplishments of their schools.

Behaviors: Examples of effective behaviors for this cluster include:

- complimenting staff members in front of coworkers at staff meetings;
- recognizing unusual achievements and contributions through letters of commendation, award certificates, special pins, newsletter announcements special award nominations, etc.;
- leaving notes on teachers' desks complimenting their class on work done well; and
- looking for opportunities to provide positive reinforcement in all interactions with staff.

Examples of ineffective behaviors include:

- rarely expressing personal appreciation to staff members who have carried assignments or performed their work well;

- praising others in a contrived manner; and
- continually singling out particular staff members for praise to the point that they become embarrassed and other staff members become resentful.

PERFORMANCE STANDARDS

To be competent in the Motivating Others domain, principals should:

1) provide staff with job challenges and intellectual stimulation;

2) encourage teamwork and collegiality among teachers;

3) articulate the positive impact staff are having on children;

4) practice participative decision making;

5) be aware of the amount of autonomy various staff members need;

6) encourage close teacher-parent relationships;

7) provide face-to-face and written performance feedback;

8) be aware of various types of feedback systems;

9) understand their impact as role models;

10) enhance individual productivity;

11) articulate performance expectations;

12) be aware of the rewards that staff members value; and

13) provide tangible and intangible rewards for good performance.

EDUCATION AND TRAINING

Training in motivating others should include exposure to concepts and strategies; staff feedback to identify strengths and weaknesses; and focused learning, practice, and feedback on selected strategies.

CONCEPTS AND STRATEGIES

Principal trainees should be exposed to general work motivation models and to the strategies these models suggest for enhancing the meaningfulness of work, enhancing responsibility for work outcomes, providing knowledge of results, shaping effort-performance expectations, and shaping performance-outcome expectations.

Trainees can be asked to analyze a project or job they felt highly motivated to undertake and to relate the above models to their own experiences. These analyses could be shared in small groups, which then would develop their own theories of motivation and compare them to theories in the literature.

For additional examples, cases, and in-depth material on motivation, trainers should consult the following:

- Blase and Kirby's (1991) *Bringing Out the Best in Teachers: What Effective Principals Do.* This source provides research-based examples and guidelines to help trainees employ a number of motivational strategies. These include using praise, communicating high expectations, involving others in decision making, allowing for professional autonomy, providing support and advice, using formal authority, and being a role model.

- Sergiovanni's (1987) chapter on teacher motivation and commitment in his book *The Principalship: A Reflective Practice Perspective.* Sergiovanni suggests exploring policies and practices in schools that contradict motivation theory and research. He discusses two: 1) mandating highly structured standardized curriculum and teaching formats; and 2) school organizational patterns that encourage isolation. The chapter also contains a useful questionnaire for assessing the "quality of work life" in teaching.

- Rosenholtz's (1989) *Teachers' Workplace: The Social Organization of Schools.* Although technical in style, this book provides research evidence and concrete descriptions of the importance of shared goals, teacher collaboration, and learning-enriched settings for teachers. Trainees can use the text's research questionnaire to collect data on teachers' perceptions of workplace conditions that are conducive to commitment (e.g., shared teaching goals, school goal-setting, teacher recruitment, teacher evaluation, teacher socialization, isolation/cohesiveness, and student behavior management).

- Leithwood and Montgomery's (1986) *Improving Principal Effectiveness: The Principal Profile.* This source describes the findings from a series of studies exploring the dimensions of principal behavior that influence school effectiveness, the nature of effective principal action within each dimension, and the stages of growth leading to highly effective behavior. The principals found to be most effective in this research were called "Systematic Problem Solvers" because of their bottom-line focus on inventing and delivering whatever services were needed to realize the goals held for students by their schools. Motivating the staff was one of the strategies these principals used as means to these goals. The motivating behaviors they used included: being positive, encouraging, honest and sincere; involving staff in decisions and activities; getting staff to set personal goals; and acting as a role model. (See also Domain 1, Leadership.)

STAFF FEEDBACK

Trainees can get feedback about the kind of motivation strategies staff perceive them as using and the reaction staff have to these strategies. One possible feedback instrument is Yukl's (1988) *Power and Influence Survey*. Portions of Kouzes and Posner's (1988b) *Leadership Practices Inventory* or Wilson and O'Hare's (1984) *The Survey of Leadership Practices* also could be used. Another method is to adapt the research methodology used by Blase and Kirby (1991) in their study of principal influence strategies. Staff could be asked to identify an influence strategy the principal trainee frequently uses and to describe its impact on them. In addition, staff should be asked what they believe the purpose of the strategy is and how effective it is. They also could be asked to identify and describe a strategy they would like the student to use more frequently.

FOCUSED LEARNING, PRACTICE, AND FEEDBACK

After being exposed to motivation models and staff feedback, trainees can be asked to select motivation strategies that they would like to employ more frequently in their work. They might, for example, choose to provide staff with more job challenges or to develop better feedback systems. Trainees then would determine how to implement these strategies and the obstacles they may face.

In-depth learning about specific strategies takes different forms depending on the specific strategy. Examples of each strategy are presented below.

Providing Job Challenge: Trainees can be asked to interview teachers challenged by their work to determine what they do, what they find stimulating about their jobs, how they would change other teachers' jobs, etc. (See Fig. 14-3.) In addition, they could develop a list of resources to use in staying up to date with educational innovations (e.g., newsletters from research centers, professional publications, key people involved in trying out innovations in local districts).

Encouraging Teamwork and Collegiality: Students can be asked to review scheduling options used in schools that have a high degree of teacher interaction. In addition, they can observe videotapes of staff meetings in which educational issues are discussed and debated.

Emphasizing Significance of Work: Trainees can be asked to put together a repertoire of stories that they have heard and that demonstrate the impact schools have on children and the community. They also can practice a motivational presentation that emphasizes the significant work being done at their schools.

Taking a Participative Approach to Decision Making: Trainees can be asked to role-play a conversation with a group of staff members in which they elicit input on an important issue. Trainees also can be asked to read scenarios requiring decisions and then determine whether a participative approach would be appropriate. They then would discuss their thoughts with their classmates.

Allowing for Individual Autonomy: Trainees can be asked to interview staff about the degree of autonomy they prefer and have staff describe times when they felt they lacked control over their work.

Encouraging Close Teacher-Parent Relationships: Trainees can be asked to review programs and processes in schools that have positive teacher-parent relationships. In addition, they can observe videotapes of productive teacher-parent interactions.

Providing Personal Feedback: Trainees can be asked to role-play a feedback session with a staff member. They also can observe simulated classrooms and write feedback reports to the instructor.

Using Feedback Systems: Trainees can be asked to review features of positive performance evaluation systems and innovative strategies used to collect school performance information.

QUESTIONNAIRE FOR INTERVIEWING MOTIVATED TEACHERS

- What are you trying to achieve in your job? What types of activities are you engaged in that help further your goals?
- What is the most energizing part of your job? What would you miss most if you left?
- If you could change one thing about your job, what would you change? Why?
- How much variety is there in your job? Describe some of the most varied things you do.
- Which parts of your job stretch you the most?
- From which parts of your job are you learning the most? What is it about these experiences that help make you a better teacher?
- Are there things about the way your job is structured that make it more motivating? What are they?

Fig. 14-3

Serving as Role Models: Trainees can be asked to monitor their behavior to see if it is consistent with the expectations they have of others. With classmates, they can discuss the positive role models in their lives and what made (or makes) these models effective.

Enhancing Individual Productivity: Trainees can be asked to role-play a goal-setting session with a staff member. They also can read cases about individual productivity problems and discuss how performance obstacles could be removed.

Articulating Performance Expectations: Trainees can be asked to role-play a presentation about performance standards.

Being Aware of Valued Rewards: Trainees can be asked to interview others about the outcomes they find reinforcing.

Linking Rewards to Performance: Trainees can be asked to review various reward systems employed by effective schools. In addition, they can observe videotapes of principals expressing praise, recognition, and appreciation of good performance.

After trainees have developed a better understanding of their chosen strategies, they should look for opportunities to practice and receive feedback on them. They also should keep a record of their efforts and progress. It is advised that trainees use a personal coach

ROLE-PLAYING SCENARIO

You are the principal of a rural high school. The county is largely dependent upon cotton and tobacco farming; consequently, the school has various vocational and agricultural programs. When you became principal 3 years ago, the school was in poor academic condition. Under your guidance, it has improved significantly, and many students now go on to the university. Thus, your popularity in the community is high. Your success has contributed to a tendency for the staff to bring you their own problems, which means asking you to make decisions that they probably should be making themselves. However, they trust your judgment, and you are convinced that they would enthusiastically support any decisions you might make.

As a result of a new government program, you have acquired federal funds to expand your school's services. Your problem is to decide on the most appropriate type of service that will benefit the county's population. A program for handicapped students is badly needed. Increased technical and vocational training, updated curriculum, and better scientific lab facilities also are needed. In addition, there are other programs that you might consider. Only one of these programs can be implemented with the available money.

Should you:

- decide alone?
- seek additional information from others and then decide alone?
- share the problem with selected others individually, seek their advice, and then decide alone?
- share the problem with others in a group setting, seek their advice, and then decide alone?
- share the problem with others and mutually decide what to do?

Fig. 14-4

(e.g., a trainer, other principal, school superintendent, etc.) or a peer group (all of whom would be working on similar strategies) to provide support and consultation.

MEASUREMENT PROCEDURES

Measurement strategies could be devised to assess a trainee's knowledge of motivational strategies, the degree to which he or she makes use of them, and the expected outcomes if the trainee creates work conditions that staff find motivating.

KNOWLEDGE

A written test could be devised using Wagner and Sternberg's "tacit" knowledge approach (1986). Tacit knowledge is learned through practical experiences and is not always openly stated. Measures of tacit knowledge within a given domain are achieved by first interviewing experts in that domain and asking them to provide typical work-related situations and possible responses to them. Scenarios and potential responses to the scenarios are then written from these interviews. Novices and experts are both asked to read the scenarios and rate the importance of the various responses. Responses that experts rate as more important than novices' responses are considered to be illustrative of tacit knowledge in that domain.

To apply this to the motivation domain, scenarios and potential responses would be gathered from experienced principals. Individuals with no experience as a principal and principals known for their motivational skills would rate the importance of various responses. Responses that the expert principals rate as more important would be identified. Trainees would then be given the scenarios and asked to choose effective courses of action. The more the trainees' responses match those that distinguish between experts and novices, the higher their tacit knowledge about motivation is.

USE OF STRATEGIES

The same feedback tools described in the Education and Training section above could be used to gather information from staff about the degree to which trainees use various motivational strategies. A more customized subordinate rating tool also could be devised based on the motivational skills described in this domain. (See Fig. 14-5.)

If the use of subordinate ratings is not practical or desirable, a structured interview could be devised that probes the trainee's use of various motivational strategies.

ORGANIZATIONAL OUTCOMES

As an indirect assessment of the effectiveness of the trainees' motivational strategies, Hackman and Oldham's (1976) Job Diagnostic Survey could be used to test the degree to which staff experience motivating job characteristics. Similarly, an instrument could be adapted from research studies to assess the degree to which effort-performance and performance-reward expectations are held by the staff.

(Instruments used in expectancy theory research have tended to be study specific).

SAMPLE RATING TOOL

Please rate the extent to which this person displays each of the characteristics below using the following:

1 = Not at all
2 = To a small extent
3 = To some extent
4 = To a great extent
5 = To a very great extent

- Sets clear performance standards for subordinates.
- Gives subordinates a sense of ownership, of being an integral part of something big.
- Keeps morale up when transfers, demotions, or firings are necessary.
- Pushes decision making to the lowest appropriate level and develops employees' confidence in their ability to make decisions.
- Is willing to pitch in and lead subordinates by example.
- Rewards hard work and dedication to excellence.
- Treats people fairly when they make a mistake.
- Relies on persuasion or expertise first; uses the power of the position as a last resort.

Note: These items are taken from Benchmarks (© 1992, Center for Creative Leadership), a feedback tool for managers in various organizational settings. Although Benchmarks covers various managerial domains, items presented here are more representative of the Motivating Others domain.

Fig. 14-5

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INTERPERSONAL SENSITIVITY

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INTERPERSONAL SENSITIVITY

DEFINITION

Sensitivity: Perceiving the needs and concerns of others; dealing tactfully with others; working with others in emotionally stressful situations or in conflict; managing conflict; obtaining feedback; recognizing multicultural differences; relating to people of varying backgrounds.

During the course of their busy days, principals constantly interact with others. These contacts may be positive or negative, productive or nonproductive, satisfying or stressful, simple or complex. Understanding and being sensitive to the points of view of others is essential because "more and more, we spend our days with others and with the problems created by being with others" (Smith, 1966, p. 3).

To be sensitive to others, one must demonstrate consideration toward their feelings, attitudes, needs, and intentions and sense what they feel about themselves and the world (Purkey, 1970). To be an effective leader on an interpersonal level, one also must accurately perceive the behavior of others (Gazda, Asbury, Balzer, Childers, & Walters, 1984). This ability may be influenced by several factors, including one's personal needs, preferences, expectations, fears, prejudices, and defense mechanisms, as well as the personal needs, preferences, expectations, ethnicity, etc. of others.

It is not enough for principals to "feel" sensitive. They also must "express" sensitivity in their interactions if they are to build and maintain positive relationships. These expressions can take any number of forms: praising someone for a job well done; responding to calls and messages in a timely manner; using verbal and nonverbal cues while listening to someone's concerns, feelings, or ideas; accurately reflecting other people's points of view and learning from their feedback; and managing conflicts and confrontations in a knowledgeable and positive manner.

The extent to which principals are willing to put these behaviors into practice determines how positive the interpersonal relationships within their schools will be.

LITERATURE REVIEW

Although sensitivity is an integral part of leadership, it is often inadequately expressed in practice. To suppose that principals always apply policy or make decisions that affect others in an evenhanded, rational, and objective manner begs reality. Administration, after all, is a complex and personal undertaking, and principals bring their own frame of reference to each situation:

> The administrative process in education is a highly personal enterprise. Sometimes knowingly, but more often unconsciously, leaders apply their own biases and predictions to daily problems. By ignoring or addressing certain behaviors, by selectively applying rules and regulations, by creatively interpreting certain policies, or by applying policy in an inappropriate fashion simply to expedite a decision and to appear both knowledgeable and decisive, administrators bring their own values into play (Ashbaugh & Kasten, 1991, p. 2).

In the human relations approach to organizational management, sensitivity is an essential element of many successful interpersonal skills. These skills enable a person "to communicate his feelings and ideas to others, to receive such communications from others, and to respond to their feelings and ideas in such a fashion as to promote congenial participation in a common task" (Roethlisberger, Lombord, & Ronken, 1954, p. 172).

The importance of the human relations approach is well documented by this generalization based on the Hawthorne studies:

> Leadership style has an effect on group performance—a "democratic" style is more effective for group performance than either a "laissez-faire" or "authoritarian" style; leaders who give relatively equal attention to initiating structure (task performance) and consideration (friendship, trust, respect, warmth, and concern) tend to be more effective as measured by worker satisfaction and performance. (White & Lippitt, 1968, p. 322)

Schmuck, Runkel, Arends, and Arends (1977, p. 12) note that "in choosing ways to design and improve school organizations, the satisfaction of human needs cannot be disregarded." In addition, they mention three interpersonal skills—processing information, conceiving problems, and responding—that are indispensable to the effective functioning of subsystems that lead to organizational growth. Rogers (1962, p. 466), writing more than 30 years ago, found that "in a wide variety of professional work involving relationships with people—whether as a psychotherapist, teacher, religious worker, guidance counselor, social worker, [or] clinical psychologist—it is the quality of the interpersonal encounter with the client which is the most significant element in determining effectiveness."

In the private sector, successful management practices support the idea that performance improves when individuals are valued. Companies that excel have a deeply ingrained philosophy that says, in effect, "respect the individual," "make people winners," "let them stand out," "treat people as adults" (Peters & Waterman, 1982).

McLaughlin (1954), who investigated the amount of time administrators spend on people problems, reported in the *Nation's Schools* that: "Reliable estimates indicate that 90 percent of the time of forward-looking school administrators is spent in working with people, and only 10 percent in working with things. Studies of reasons for failure in school administration clearly show that it usually results from the inability of the administrator to work with people and not from incompetence in technical skills" (1954, p. 13). Smith and Andrews (1989) indicate that the principal is a visible presence in the schools who works with individuals and uses a variety of interaction skills to resolve conflicts and help others. The National Association of Elementary School Principals (1991) indicates that effective principals not only engage in meaningful working relationships but recognize the diversity within a school, including its varying priorities, values, and relationships. These principals possess expertise in interpersonal relations and accept whatever differences that exist; their schools are marked by harmony and a sense of common purpose.

In a multicultural society, sensitivity is especially important when working with ethnic students. Principals, therefore, must understand the cultural factors that affect the behavior and interactions of these students. Most Native Americans, for example, avert eye contact as an expression of respect; most Asians avoid open and direct face-to-face disagreements so as to not offend others. Although maintaining eye contact with students is important, principals need to understand that it may not be reciprocated and that negative judgments should not be made about students who do not return their gaze. Although the majority culture tends to view people who fail to make eye contact as untrustworthy, disrespectful, or devious, this view clearly does not apply to some cultural groups. These groups also may differ from the majority culture in their gestures, use of personal space when conversing with others, etc. Accordingly, principals must learn to deal with any feelings of discomfort they might experience in situations where these differences arise (Barnett, McQuarrie, & Norris, 1991).

Social class factors also are important to understand. For example, the surly glances of a low-income child may have little to do with the child's attitude toward a teacher or principal; rather, they are a reflection of the student's difficult social environment. In such situations, principals must be sensitive and accommodating within reasonable bounds.

Understanding the effects of Haptics (touching) also increases a principal's sensitivity. While some individuals appreciate and enjoy being patted on the back, others are offended by this act of familiarity. Principals, therefore, should attempt to learn what makes different individuals feel valued so that goodwill gestures will not be misinterpreted.

DEVELOPING SENSITIVITY

One of the first efforts to address interpersonal sensitivity skills was made in the 1940s, when T-groups gained popularity (Seashore, 1970). Also known as Sensitivity Training and Laboratory Training, T-groups were developed by the National Training Laboratory for Group Development. This organization sponsored the first formal sensitivity training program, which was in held in Bethel, Maine, in the summer of 1947. Wynn's (1957) study of interpersonal relations in educational administration led to the organization of a human relations training program that included the use of T-groups at Teachers College, Columbia University.

Since then, sensitivity training has been generally understood to have the following six objectives:

1) to understand better one's behavior, its impact on others, and the ways in which one's behavior is interpreted by others;

2) to understand better the behavior of others and to more accurately interpret verbal and nonverbal cues in order to become more aware of and sensitive to the thoughts and feelings of others;

3) to understand better group and intergroup processes, specifically those that facili-

tate and inhibit group functioning;

4) to improve diagnostic skills in interpersonal and intergroup situations (by accomplishing the first three objectives);

5) to put learning into practice so that real-life interventions will more successfully increase member effectiveness, satisfaction, or output;

6) to analyze better one's interpersonal behavior and to learn how to help oneself and those with whom one interacts achieve more satisfying, rewarding, and effective relationships (in Campbell & Dunnette, 1968).

SENSITIVITY AS A DIMENSION IN ADMINISTRATIVE SELECTION

Sensitivity has emerged as an important element, or dimension, in the selection of school administrators. Daresh and Playko (1991) suggest that improvements in educational administration focus on the promotion of human resource development.

Future administrators will need to learn more about creating learning environments than they will about orchestrating organizational efficiency. The National Association of Secondary School Principals (NASSP) developed the assessment center method as one way to help select school administrators with potential for creating such environments (Hersey, 1977). This method emphasizes positive interaction among educators and provides participants with feedback so they can assess their interpersonal skills.

Sensitivity was one of the 12 interpersonal skills on which NASSP chose to assess potential principals. The behavioral outcomes expected of sensitive principals in NASSP's assessment center program are:

- ability to perceive the needs, concerns, and personal problems of others;
- tact in dealing with people from different backgrounds;
- skill in resolving conflicts;
- ability to deal effectively with people on emotional issues; and
- knowledge of what information to communicate and to whom (Jeswald, 1977).

Generally, principals are more effective when they listen to and facilitate conversation rather than when they do most of the talking. By eliciting the views and concerns of others, principals display sensitivity and receive useful information. Ideally, their comments are tactful and encourage open discourse.

Tact is a tool principals can use to reduce the intensity of initial interactions among people easily threatened by critical comments at the outset of conversations. It also is a tool that helps to disarm aggressive group members.

Principals who use tact in the

face of disagreeable challenges and keep their emotions in check will gain respect. Seeking compromises and helping others save face during disagreements can stretch a principal's patience and tact to the limit, but the effort pays off in the long run because it diverts unnecessary confrontations.

THE INTERACTIVE MODEL

As a performance domain, sensitivity is dynamic and interactive. Effective performance draws heavily on the basic skills and abilities outlined in the leadership, information collection, problem analysis, judgment, motivating others, oral expression, and written expression domains.

Sensitivity has two components: sensing and responding. Sensing involves gathering information about others and perceiving people as individuals as well as members of multiple groups or cultures. Responding involves the use of that information in interactions with others (e.g., obtaining feedback, using tact, working in emotionally charged situations). Because sensitivity is observable only in interpersonal interactions, it may change rapidly as parties respond to each other. (See Fig. 15-1.)

Being sensitive to people and situations is an ongoing, interactive, and dynamic process, one that involves predictions, perceptions, experience, and modification of internal factors on the part of the perceiver.

According to Smith (1966), five criteria determine how accurate a perceiver's judgment will be:

1) the individual's tendency to rate others on some scale of goodness;

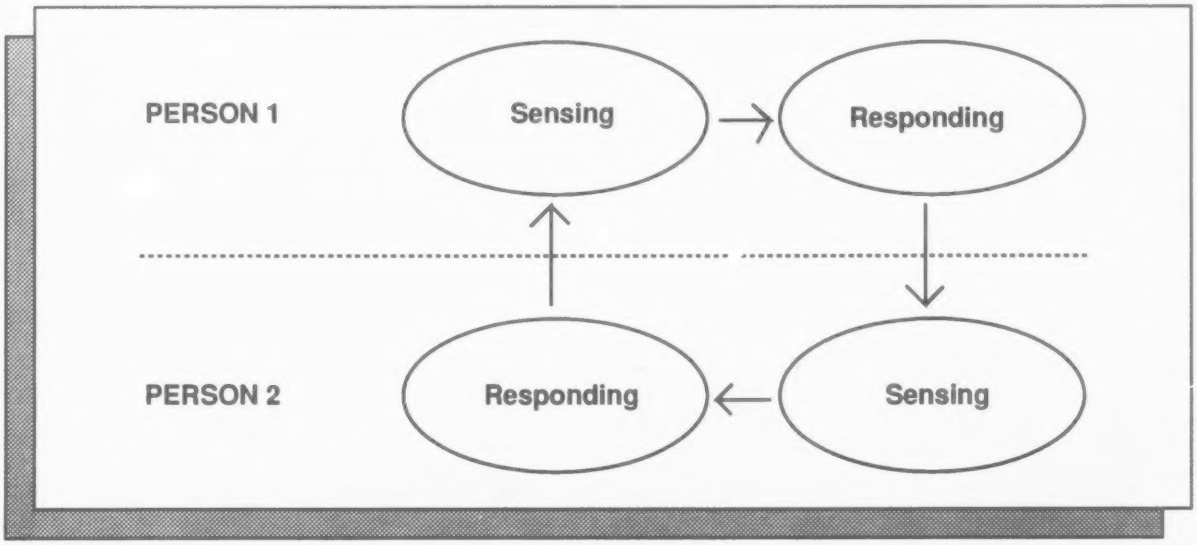

Fig. 15-1

2) the individual's tendency to rate others on a narrow or wide spectrum of this scale;

3) the individual's ability to empathize, or assume similarity to self;

4) the individual's tendency to stereotype based on past judgments of groups; and

5) the individual's tendency to differentiate among individuals (unique traits, attitudes, and values separate from group affiliation).

Figure 15-1 is an adaptation of Smith's sensitivity model. It extends the concept of sensitivity to include external factors that affect the perceiver's observations and interactions. It is designed to make readers more aware of how they interact and judge others. The model assumes that a person's predictions, judging habits, stereotypes, and knowledge are modified or reinforced by each experience. Accordingly, it illustrates how an individual's sensitivity is determined by the internal and external factors influencing the interaction.

Figure 15-2 demonstrates the process by which a perceiver predicts what will occur in a social interaction with another person.

Influenced by external factors and personal judging habits, the perceiver assumes that the other person will behave in a certain way. A perceiver or principal should be able to use this information and work toward establishing trust, openness, and honest communication with others.

Each of the items listed in the model is explained below.

Perceiver: The perceiver is an individual who, in anticipation of a formal or informal interaction with another person, makes predictions about how that other person will behave. Sensitivity is primarily an internal process that is limited and affected by external factors. As a result of previous experiences, the perceiver can alter or modify various internal factors that may influence the degree of sensitivity. Accordingly, each person has the power to develop a greater understanding of himself or herself as well as others.

The first step to increased sensitivity is a willingness to assess oneself and one's activities toward others. As Purkey stated: "Sensitivity first requires the honest desire to become aware of how others are experiencing things. [T]he. . . . fact is that many people don't take the necessary time and trouble to be sensitive to others" (1970, p. 57).

Principals are often so harried that they do not attempt to describe, explain, or predict what might occur in an interaction. Such efforts are imperative, however, if principals are to predict the behavior of others and to understand how attitudes and beliefs influence interaction. By becoming aware of their own personal habits, actions, biases, values, and beliefs, they can develop greater sensitivity.

External Factors: All people, including principals, are given a set of circumstances within which they operate. For example, a principal has authority over teachers, but he or she is subordinate to the superintendent and to some members of the district office. These roles limit, define, and affect interactions.

External factors are varied and include such things as one's life experiences, cultural background, and genetic makeup. Many of these factors are beyond the perceiver's control. For instance, principals are concerned with organizational goals and with fulfilling their schools' missions. At the same time, they may be concerned with more personal goals, such as helping individuals. These goals may conflict and hinder their ability to be sensitive at all times in all situations. Obviously, they will not be able to please everyone; however, by understanding the process by which sensitivity is developed, they can alleviate unnecessary conflicts.

By illustration, a principal receives a district mandate to reduce expenditures by drastically cutting department budgets and returning unused moneys to the district. Teachers feel that this action reduces instructional quality and consider the principal's actions to be in conflict with their interests and those of their students. Although the district's mandate does not limit the principal's ability to be sensitive, it may require that he or she take an organizational perspective and set aside awareness of the teachers' needs.

Judging Habits of the Perceiver: People generally judge others in terms of "level" or "spread." A perceiver's level is his or her tendency to rate others favorably or unfavorably.

For example, one principal views most teachers as mediocre, whereas another views most as outstanding; one teacher rates a group of students as bright, while another rates the same group as average. Perceivers who consistently exhibit a low judging level may express constant dissatisfaction with others, regardless of their efforts. The converse is true of those who have a high judging level.

Spread is the tendency of perceivers to rate themselves and others within a narrow or a wide range. For example, if asked to evaluate employees on a superior-good-average-below average-poor spectrum, some people consistently rate on a narrow spread, selecting only one or two responses. Other people rate on a wider spread, choosing among each of the possible choices. The more sensitive person is the one who can differentiate among people and situations and who, thus, has a wider spread.

Often, perceivers fail to "sense" adequately and thereby form quick impressions that are based on scant information. Once formed, these impressions mold judgments that generally resist change. Premature judgments fix opinions and cut off opportunities to perceive fully. These opinions may also provide the perceiver with an unfounded confidence; he or she expects subsequent information to verify initial impressions. In addition, perceivers often make premature judgments based on someone's position (e.g., parent, child, community member) or job (e.g., teacher, district staff member). The perceiver forms his or her opinions before sensing the other person's ideas and needs and before discussing issues and problems with them.

Principals need to be aware of these processes if they are to reduce judging errors and potential conflicts. Therefore, they must learn to delay the formation of impressions and to let actual evidence guide their thinking about others.

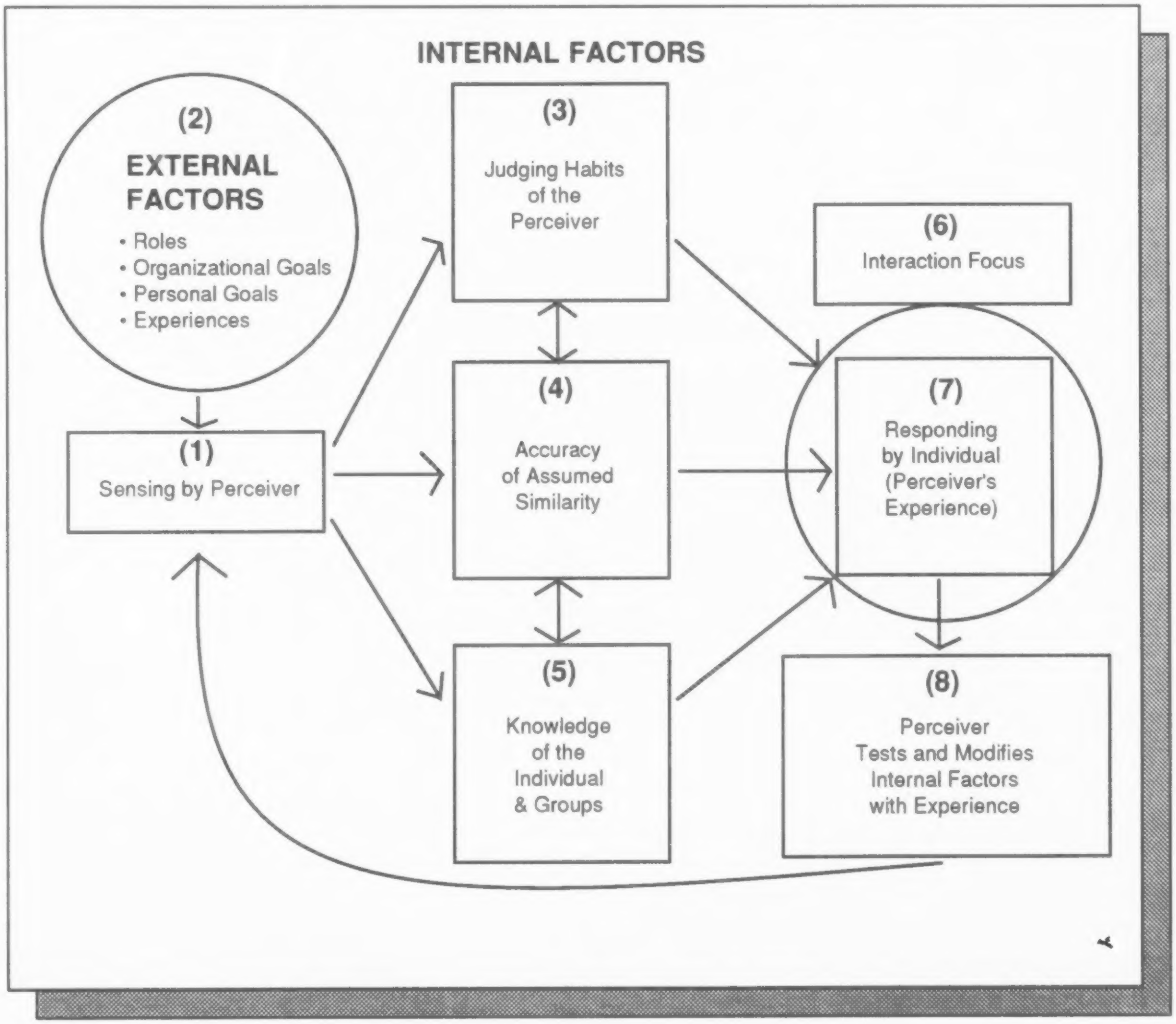
INTERNAL FACTORS
(2)
EXTERNAL FACTORS
• Roles
• Organizational Goals
• Personal Goals
• Experiences
(1)
Sensing by Perceiver
(3)
Judging Habits of the Perceiver
(4)
Accuracy of Assumed Similarity
(5)
Knowledge of the Individual & Groups
(6)
Interaction Focus
(7)
Responding by Individual (Perceiver's Experience)
(8)
Perceiver Tests and Modifies Internal Factors with Experience

Fig. 15-2

Accuracy of Assumed Similarity: Assumed similarity is the tendency of a perceiver to believe that another person's feelings, thoughts, and behavior are similar to his or her own. People typically assume some similarity between themselves and others, but some assume more than others; they overestimate similarity to those who are most like them and underestimate similarity to those who are least like them.

For example, proud parents typically relate the physical features and mannerisms of their new baby to themselves or to grandparents. Groups, clubs, and organizations form because people believe that others think and behave as they do.

Assuming similarity is positive in that it allows people to live and work together. These assumptions are not always correct, however, and can lead to mistaken judgments. When similarity is assumed or overestimated, communication often decreases because the perceiver expects the other person to understand his or her feelings and attitudes. When the perceiver discovers that this is not the case, anger and disappointment often follow.

Knowledge of Groups and Individuals: Two types of knowledge affect sensitivity: knowledge about groups (stereotyping) and knowledge about individuals (differentiating among individuals within a group).

Stereotypes often have little basis in reality yet become the basis for judging others. A negative stereotype is one that classifies and ranks people according to demeaning or unwarranted attributes.

Negative stereotypes label individuals and groups and leave little room for critical judgments of individual differences. Sex role stereotyping is an example of how one group of people (women) is often negatively compared to another group (men) or vice versa. Negative stereotypes are also formed about different racial, ethnic, social, and geographical groups.

Stereotyping is a typical occurrence in the home, community, and workplace. For example, if a male principal knows that he will be meeting with Ms. Brown, a young, single, female English teacher, he has already placed her into several categories. The critical question is, is his classification accurate? and, further, is it constructive when dealing with Ms. Brown?

Stereotypes interfere with sensitivity when the perceiver fails to recognize a person's unique attributes or when he or she categorizes that person according to the impression he or she formed about that person's group. Take, for example, a U.S. senator. Knowing the political party to which the senator belongs provides useful and generally accurate information about his or her positions. However, even politicians within the same party vote differently on many issues. In this case, knowing the senator's affiliation provides a foundation for knowledge, but it does not provide enough information to differentiate the politician from others.

Stereotyping is less negative if the perceiver tries to assess accurately the attributes, interests, values, and roles of others. Having a knowledge of cultural or sexual differences can, in fact, help principals understand better the variety of people with whom they interact. Middle-level teachers, for example, should be aware of the typical behavior of early teenagers and knowledgeable about their attitudes, frustrations, and social customs; teachers might need to take a different instructional approach when working with Native Americans as opposed to African-Americans, Asians, or other racial and ethnic groups. Whatever the group, all of the individuals within it should be considered unique and should be recognized for the contributions they make.

Interaction Focus: Interaction focus is the critical stage in which the perceiver decides which approach to take in an interaction. Judging habits, assumed similarity, external factors, and knowledge of the individual and of stereotypes all come into play. The perceiver is ready to act, but first he or she must determine the setting for the interaction based on what he or she knows about the other person or group. The perceiver also must choose the most appropriate tone of voice and method for communicating his or her message. In addition, he or she must find a balance between speaking and listening and must try to predict the kind of response he or she will receive.

During this stage, sensitivity is demonstrated in action. Sensitivity is dynamic, preceding the interaction, occurring during it, and following it as well. In some situations interaction focus is the "adjustment" made during meetings that allows for compromises to be made, appropriate responses to be heard, and expectations and needs to be clarified.

Sensitivity does not guarantee that all interactions will be ideal. However, it ensures that the perceiver will attempt to "read" individuals and situational factors as accurately as possible before deciding on the most appropriate course of action. Under one set of circumstances, a perceiver may opt to act firmly; under another, he or she may opt to be more flexible.

For example, a teacher has a combative classroom style. Although her students seem to be learning readily, she regularly sends children who misbehave to the principal's office. These children tend to be boys. The principal monitors the situation for some time and observes the teacher in her classroom to gather objective information and to become sensitive to what is going on. It becomes clear to the principal that the teacher has a problem reinforcing the behavior of boys, regardless of its nature. The principal decides to conduct a meeting with the teacher that directly focuses on the problem. Depending on the teacher's personality, the principal chooses to be firm and expecting, or is direct and permissive in allowing the teacher to resolve the problem herself. Either way, the principal offers the teacher specific suggestions so she can improve and grow from the experience.

Response of the Individual: Sensitivity primarily is expressed when two individuals interact. Although interaction may occur through many channels (telephone, letter, word of mouth, etc.), the most effective method is face-to-face contact.

Principals have many such contacts daily, and each has the potential for either improving understanding or reinforcing the expected shortcomings of others. Principals must recognize that every person they come into contact with is also a perceiver who makes predictions about how understanding and sensitive others will or should be.

Perceiver's Reaction to Interaction: During and after an interaction, the perceiver consciously or unconsciously observes or tests the interaction using his or her personal set of judging habits. The more sensitive individual will consciously use responses communicated during the interaction to build a better relationship. As the perceiver's judgment becomes more accurate, he or she gains confidence in his or her interactions.

KNOWLEDGE AND SKILLS

Two conditions are necessary if a principal wishes to be known as a sensitive leader. First, the principal must understand how personal factors affect his or her perceptions, feelings, and actions toward others and act accordingly. The principal should be able to:

- listen carefully and empathetically;
- delay the formation of impressions about others until adequate information or observations are acquired;
- gain impressions from first-hand knowledge and not merely from the comments of others;
- understand the critical importance of maintaining and enhancing the self-esteem of others;
- recognize the individual differences that make people unique;
- learn to differentiate among members of the same group;
- recognize the ways in which others are similar and dissimilar to themselves;
- observe the reactions of others, including nonverbal cues, to understand better situations;
- maintain emotional control;
- recognize that others can grow and that judging habits must allow that growth to occur;
- dismiss inappropriately perceived attitudes, values, and behaviors of others; and
- avoid stereotypes of sex, race, or ethnicity.

Second, principals must behave in ways that promote a caring environment. To achieve this, principals should be able to:

- anticipate the emotional effects decisions and actions might have on others;
- respond tactfully and respectfully in emotional situations;
- elicit the perceptions, feelings, and concerns of others;
- encourage others to share information that is relevant to organizational goals;
- encourage feedback from school groups and respond immediately to their suggestions and recommendations;
- recognize that conflict is inevitable and use it to strengthen relationships;
- follow through on commitments and keep their word;
- use the name of the other person when conversing with him or her;
- recognize and praise others;
- show respect and courtesy toward others;
- question, clarify, and correct others in a positive and professional manner;
- suggest compromises;
- be active listeners by focusing on what is said and by paraphrasing the speaker's views, feelings, and concerns;
- support others without assuming responsibility for their performance;
- request assistance to resolve problems; and
- help others save face when taking a different position.

PERFORMANCE STANDARDS

Fostering sensitivity in the school community should be one of the primary goals of principals. Unfortunately, principals engage in a number of behaviors and activities that prevent them from responding sensitively. By becoming aware of these potential barriers, however, they can work on developing sensitivity. The performance standards below are designed to meet this goal.

PERFORMANCE STANDARDS

After completing this domain, principals should be able to:

1) exhibit behaviors that promote a more positive and caring interpersonal relations climate;

2) use observation skills effectively to gain information about others;

3) choose the physical setting for interactions and set a tone that reinforces sensitivity regardless of the nature of the meetings;

4) manage conflict by reducing emotions and increasing mutual respect;

5) solicit the perceptions and concerns of others, and seek information from others;

6) recognize achievements and professional contributions;

7) describe the process by which an individual predicts what will occur in a social interaction; and

8) illustrate the dynamic and interactive nature of sensitivity.

EDUCATION AND TRAINING

Training in sensitivity should help trainees overcome a number of perceptual tendencies. These include stereotyping others, forming impressions too quickly based on available information and prior experiences only, and letting impressions endure despite changing situations and new knowledge.

Sensitivity awareness exercises should provide trainees with an opportunity to experience rating preferences and to contrast these ratings with those of other trainees. The exercises should be designed around group activities and give trainees a chance to interact with each other in discussion sessions.

The exercises for improving sensitivity skills should focus on four major ideas:

1) heightening trainee awareness of the components of sensitivity and recognizing these components in themselves and others;

2) becoming skilled at making more accurate predictions about the behavior of others;

3) obtaining feedback regarding personal judging habits and tendencies to stereotype; and

4) gaining skill in behaviors that exhibit sensitivity.

Principal-Student Scenario

You are a middle school administrator. A seventh grade student—a young lady—refuses to dress and participate in physical education. The teacher talks with you about the problem and indicates that no matter what the teacher does, this young lady refuses to comply. The teacher has not talked with the student individually except to lay out the expectations, nor has she contacted the parents of the child.

What would be some effective plans for handling this situation in a sensitive manner?

Fig. 15-3

ACTIVITIES FOR GAINING SENSITIVITY AWARENESS

Role-Play Situations: A number of group role-play settings can be created to place trainees in realistic situations that require sensitivity. Three-person teams work best in this type situation; two people will actually do the role-playing, and one will observe and record sensitive and insensitive behaviors. Possible scenarios are found in Figs. 15-3, 15-4, and 15-5. (This exercise reflects performance standards 1 and 5.)

Observation Skills Activities: Observation skills help trainees form impressions less quickly and allow them to receive more information about other people. Activities in this area might include:

1) talking to knowledgeable individuals who can provide insightful information on gangs,

Principal-Teacher Scenario

It is your second informal observation of a fifth grade teacher who has traditionally been a moderately effective instructor. This observation and the last, however, clearly indicate that little, if any, planning is occurring in preparation for class instruction. Your relationship with the teacher is collegial and professional, and you observe this teacher and all others in the building formally two to three times a year. Informally, you drop into the classroom several times each month.

How would you suggest the sensitive principal handle this concern?

Fig. 15-4

Principal-Parent Scenario

You are an elementary principal and your second grade is performing some songs at the local mall. Parents have been invited to see the performance, and the area is crowded with proud relatives as you approach to watch the children perform.

As the children are being arranged on the bleachers, a distraught teacher comes to tell you that she has had an altercation with a parent who disapproved of the way she disciplined her child. The teacher said the child was pushing other children, endangering them. This child has frequently been in your office for misbehavior on the playground, especially for "bullying" behavior. In response to the situation, the teacher took the child by the arm and pulled him out of line. She then reprimanded him and placed him back in the group for the performance before its start. You walk to the edge of the performance area as the children begin to sing to make sure the child is now properly behaving. You are confronted by the parent who accuses you, in a loud, angry voice and in the presence of the entire gathering of immediately siding with the teacher before all the facts are known.

What will the effective principal with an appreciation for sensitivity in this situation do?

Fig. 15-5

cultural groups, juvenile detention problems, drug usage, home abuse problems, etc.;

2) forming discussion groups with two or three trainees to learn more about each other, as well as their social needs, home situations, school attitudes, etc.;

3) asking teachers, counselors, and other administrators about particular students in order to understand better the students and the rating patterns employed by those teachers, counselors, and principals;

4) observing grading and disciplining patterns of teachers to see if some consistently give lower grades than others and to note if some send their pupils to the principal's office more often than others. These observations can then be discussed with other trainees;

5) selecting a visible school group (e.g., the cheerleading squad, an athletic team, a social club, a small ethnic group) and observing its behavior; selecting an individual from the group and observing how this person is similar and dissimilar to the others; and

6) making a list of two or three people in the school (teachers, students, custodians, etc.) toward whom trainees feel positively and negatively and then have trainees answer the following questions:

- How are these individuals similar and dissimilar to you?
- What have you done to foster positive relations with them?
- If these individuals rated you, how would you expect to score in terms of sensitivity to their personal problems and needs? and
- What could you do to improve your impressions of these people? (This exercise reflects performance standards 2, 5, and 8.)

Stereotyping Activities: The following activity has been adapted for education from White and Bednar, *Organizational Behavior: Understanding and Managing People at Work* (1991). The objective of this activity is to increase trainee awareness of common stereotypes that exist in many organizations about male and female characteristics.

Trainees are instructed to complete the "He Works, She Works Worksheet." (See Fig. 15-6.) In the appropriate spaces, they write what they think a possible stereotyped response would be. They are told not to spend too much time considering any one item. Rather, they are to respond quickly and to let their first impressions or thoughts guide their answers.

After the activity has been completed, trainees compare their responses with those of other class members or participants. Together, they identify and discuss

HE WORKS, SHE WORKS WORKSHEET

The family picture is on **his** desk.	The family picture is on **her** desk.

Stereotype Sample Responses:

***He's** a solid, responsible family man.*	***Her** family will come before her career.*
His desk is cluttered. ***He** can juggle several things at one time.*	**Her** desk is cluttered. ***She** is messy and unorganized.*
He's talking with coworkers. ***He** is very good at networking and enhancing morale.*	**She's** talking with coworkers. *Why doesn't **she** get to work?*
He's not at the desk. ***He** is probably in an important meeting or in the restroom or working with teachers.*	**She's** not at her desk. ***She** is probably in the lounge.*
He's not in the building. ***He** is out in the district making important contacts.*	**She's** not in the building. ***She** is slacking off, probably in a coffee shop somewhere.*
He's having lunch with the superintendent. ***He** is ambitious and well thought of.*	**She's** having lunch with the superintendent. ***She's** trying to use her charm to get something.*
The superintendent criticized **him**. *The boss wants to hone **him** into the best kind of worker.*	The superintendent criticized **her**. ***She** needs to be kept in check.*
He got an unfair deal. ***His** loyalty and work deserve better, and he'll fight it.*	**She** got an unfair deal. *Oh well, and besides, **she** won't do anything about it.*
He's getting married. *Terrific! **He's** really settling in.*	**She's** getting married. *Oh no, **she'll** soon be pregnant.*
He's leaving for a better job. ***He** is ready for new challenges.*	**She's** leaving for a better job. ***She** is never satisfied.*

Fig. 15-6

the most frequently used stereotypes. Questions they ask themselves might include:

- How pervasive are such stereotypes in organizations?
- What impact can male and female stereotypes have in employment interviews and on performance appraisals? and
- How can such stereotypes be overcome? (This exercise reflects performance standards 4, 5, and 7.)

MEASUREMENT PROCEDURES

Sensitivity is a broad term; moreover, its expression varies substantially from individual to individual. Any measurement of sensitivity is best obtained by direct observation methods. The most suitable method involves the trainee's assessment of his or her sensitivity skills as well as the supportive critiques of those who have been involved with the trainee in interactive situations. Feedback is often more effective than scores derived from check sheets of sensitivity traits. The sensitivity profile on the next page gives trainees the opportunity to rate themselves and to observe the ratings of others. This activity requires the participation of a professor or workshop director, who scores the profile instruments and discusses the results with the trainees.

ADMINISTRATOR SENSITIVITY PROFILE

Using the items listed under the knowledge and skills section, trainers develop a perception rating scale of sensitivity traits. Trainees use this scale to rate themselves and to indicate how they think others would rate them. (See Fig. 15-7.) Trainers then ask three or four close associates of the trainees to make independent ratings using the same scale. Without including names, trainers compile these independent ratings and use them as a guide to discuss the trainees' self-assessments and the assessments of how they think others would rate them. From these findings, trainees identify the areas in which they can exhibit greater sensitivity and then develop a personal improvement plan. Feedback is provided via written reports, journal entry reviews, and discussions.

ADMINISTRATOR SENSITIVITY PROFILE

The purpose of this inventory is to assist you in analyzing your sensitivity toward others. Getting to know more about how you relate to and interact with others in the school and community will help improve your job performance as a school leader. Please respond to each item listed below accurately and to the best of your ability. You will have two tasks: one, to evaluate your performance in each area, and the other, to indicate how you think others would rate you on each item.

To what extent in my school assignment do I . . .

- feel positive about the teachers in the school?
- feel positive about the students in the school?
- avoid making judgments about others from a limited number of observations?
- recognize individual differences in staff and students and appreciate their unique contributions?
- praise others for work well done?
- take an interest in the work and performance of individuals?
- behave in a manner that shows a value for people?
- have unrealistic expectations of individuals?
- make efforts to assure that the staff enjoys their work?
- use tact and sincerity when helping others to improve their performance?
- seek to improve my performance?
- actively work on establishing and maintaining trust?
- treat all staff members equally in terms of interest and support?
- make accurate observations about the behavior and personality characteristics of others?
- differentiate among members of the same group?
- place a high priority on meaningful interactions with others?

Fig. 15-7

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ORAL AND NONVERBAL EXPRESSION

DOMAIN 16

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ORAL AND NONVERBAL EXPRESSION

DEFINITION

Oral and Nonverbal Expression: Making oral presentations that are clear and easy to understand; clarifying and restating questions; responding, reviewing, and summarizing for groups; utilizing appropriate communicative aids; being aware of cultural and gender-based norms; adapting for audiences.

Oral expression—or, more simply, the spoken word—has a silent partner: nonverbal communication. These inseparable partners communicate verbal and nonverbal messages through language, gestures, visual cues, and other forms of transmission. Taken together, they form the basis of communication. DeVito (1988) defines communication as the sharing of ideas, messages, and attitudes to produce a degree of understanding between the sender and the receiver; improving that understanding is the purpose of this domain.

LITERATURE REVIEW

Communication is an important part of a principal's work day. Throughout each day, he or she will talk to others in person and by phone, write letters, hold conferences, and engage in a wide variety of activities through which messages are sent.

Communication is also important—indeed, central—to effective school operation. Principals, teachers, parents, and students are involved in a constant interplay of written and nonwritten messages. Most of these interactions are spontaneous and unrehearsed; others require careful thought and planning.

To be effective, principals must understand how the communication process works. Tasks cannot be accomplished, nor objectives met, without continuous and meaningful communication between themselves and others.

Principals typically spend more than 70 percent of their time communicating with others (Hoy & Miskel, 1991) and engage in 50 to more than 200 interactions during a school day (Morris, Crowson, Porter-Gehrie, & Hurwitz, 1984). For most principals, the typical day includes a variety of face-to-face meetings, averaging less than 2 minutes each (Southern Regional Education Board, 1986).

Verbal communication is one of the primary tools principals employ to inform, motivate, change attitudes, and engender support for school programs, policies, and objectives. The clearer the messages they send to teachers, students, and others, the more successful they will be in accomplishing collective goals. Nonverbal expression (e.g., facial expression, body posture, dress, etc.) is equally important. "Activity or inactivity, words or silence, all have message value: they influence others and these others, in turn, cannot not respond to these communications and are thus themselves communicating" (Hinton, 1985, p. 23).

According to Hoy and Miskel (1991), communication underlies virtually all organizational and administrative situations, and is essential to decision making and effective leadership. Conflicts and uncertainties among school staff can be mitigated only through communications that give individuals an opportunity to voice concerns, contribute ideas, and explore shared values. At the heart of communication lies the opportunity to resolve contradictions, quell rumors, provide reassurance, and, ultimately, instill meaning in the complex but engaging task of education (National Leadership Network, 1991).

COMMUNICATION COMPETENCE

The term *communication competence* first appeared in speech-research journals in the 1970s, although interest in oral expression dates back to ancient Greek philosophers, who spoke of "eloquence" and the "art of speaking" (Spitzberg & Cupach, 1984).

Rubin (1990, p. 96) defines communication competence as "knowledge about appropriate and effective communication behaviors, development of a repertoire of skills that encompass both appropriate and effective means of communicating, and motivation to behave in ways that are viewed as both appropriate and effective by interactants." This definition implies that communication competence can be taught once "appropriate" and "effective" behaviors are known. These behaviors have traditionally been studied on the cognitive level (the mental images of the communication), the social/interpersonal level (the relationship of the sender and the receiver), and the communication-skills level (the transmission abilities of the sender) (Rubin, 1990).

To be effective, the messages principals send must be understood. A number of steps can be taken to improve the quality and effectiveness of these messages. Bozik (1989) suggests that principals model effective communication by presenting ideas that are carefully reasoned, well supported, and appropriate to the receivers' needs and interests. Educational jargon and complex concepts should be avoided, and simple words and phrases employed. In addition, background noise should be minimized to ensure that full attention is paid when a message is sent and received. Finally, whenever possible, messages should be conveyed in person and reiterated.

Feedback is another essential component of the communication cycle. When a message is delivered, the speaker receives feedback, not just on its content, but on the manner in which it was presented. Feedback gives the speaker an opportunity to correct or rephrase the message, or to give nonverbal cues that emphasize the message's intent. Such cues typically include smiles, chuckles, pats on the back, or direct eye contact to emphasize the seriousness of the message.

Feedback can be positive or negative. Positive feedback indicates that a message has been received and apparently understood and accepted. Negative feedback indicates that a message has not been understood or accepted for any number of reasons. For example, a message might have been conveyed in a manner inappropriate to a particular culture, or it contained information that was upsetting or incomplete.

Principals must also be aware that feedback may be delayed and that positive messages and positive feedback may later become negative. For example, Becker and Klimoski (1989) indicate that people are reluctant to give negative feedback during face-to-face interactions. This is especially true when the sender is an authority figure or when the receiver wishes to maintain good interpersonal relations.

COMMUNICATION AS A HUMAN ACTIVITY

Benjamin (1986) claims that communication is a human activity because speaking and listening are the primary functions that people perform. As individuals communicate, they engage themselves intellectually, emotionally, and physically. This interplay is evident, for example, when a school principal praises a teacher for a clear and well organized lesson plan. The principal's facial expression matches his or her words of praise (physical). The teacher considers the lesson plan (cognitive), responds to the principal with an energetic "thank you," and manifests professional pride (emotion). Principals who learn to use these cognitive, emotional, and physical aids become more adept at improving their daily communications.

According to Seiler, Schuelke, and Lieb-Brilhart (1984), four postulates underly the act of communication. The first postulate states that communication is a process: "Communication is dynamic and continuous, and has no beginning or end to it" (Seiler et al., pp. 4–6). And, given the number of variables it contains, it is difficult to predict.

The second postulate states that communication is systemic. Its components include a source, message, channel, receiver, feedback, and the surrounding environment. If any of these components is lacking, or if the communicator fails to acknowledge any one of them, communication may be hampered or may not occur at all.

The third postulate states that communication is both interactional and transactional. Interactional communication occurs when people talk as they work together or come in contact with one another. Generally, this communication is conversational. Transactional communication occurs as a simultaneous sharing event; that is, when people share in the creation and interpretation of messages. As the sender communicates with a receiver, the receiver provides feedback that causes the sender to reply, or share, another message. School principals typically engage in this type of communication.

The fourth and final postulate states that communication can be intentional or unintentional. For example, an unintended, seemingly contradictory message might simultaneously and subconsciously accompany an intentional message. Body language is often responsible for these unintended messages.

Research indicates that messages are most often communicated nonverbally (Hamersma & Mark, 1977). Some researchers suggest that only 7 percent of a message is communicated verbally; the remaining 93 percent is communicated through facial expressions and vocal intonation (Mehrabian, 1981). More conservative estimates indicate that 60 to 70 percent of a message is sent nonverbally (Birdwhistell, 1970). Posture, facial expressions, voice, mannerisms, dress, use of space, silence, and the context in which communications take place all add meaning to the verbal message. Thus, "nonverbal and verbal messages are intertwined as inseparable parts of human communication" (Miller, 1988, p. 5).

Lipham and Francke (1966) studied nonverbal behavior among principals to determine if they could distinguish differences between promotable and nonpromotable school administrators. Through their work, they developed a three-category typology for identifying principal characteristics. The first category, structuring of self, included physical characteristics such as appearance, physical movement, and posture. The second category, structuring of interaction, included specific forms of interaction such as welcoming and placing others, and terminating interactions. The third category, structuring of the environment, evaluated principals' offices in terms of decor, neatness, spatial arrangement, level of noise, and use of status symbols.

Significant behavioral differences were found between promotable and nonpromotable principals in the latter two categories. For example, promotable principals tended to seat visitors alongside their desks or at the their side rather than across from them. These principals walked around their desks to greet visitors and offered them seats close to their own. Nonpromotable principals greeted visitors from their desk area and typically seated visitors 5 to 12 feet away and directly across from them.

The offices of promotable and nonpromotable principals revealed other distinctions. Promotable principals displayed more personal items (photographs, citations, and assorted knickknacks) in their offices than did nonpromotable principals. In addition, the office areas of promotable principals were quieter than those of nonpromotable principals, and interruptions were less evident.

GROUP COMMUNICATION SKILLS

Working with groups is a significant part of a principal's job. These groups—be they composed of faculty, students, parents, peers, or district and state personnel—make decisions that directly affect a school's welfare. Opening the door to the decision-making process has distinct advantages. It can enhance morale and stimulate the influx of fresh ideas. And, once decisions are made, approval will come more readily from the constituencies that have been involved in the process.

As group diversity and the number of groups, group members, and group meetings increases, so, too, will the complexity of a principal's communications. Numerous researchers have designed interaction patterns for group exchanges to gauge the effectiveness and efficiency of communication (Lunenburg & Ornstein, 1991; Brass, 1984). (See Fig. 16-1.)

Two of these networks are decentralized: the Circle and the All-Channel patterns. Within each, the leader sits with the group and has no apparent "corner" on the information. These configurations are useful for brainstorming sessions, in meetings where participants are to be viewed as equals, and in meetings where a leader wants to diffuse his or her power. These networks lead to the highest level of participant satisfaction (Hanson, 1991).

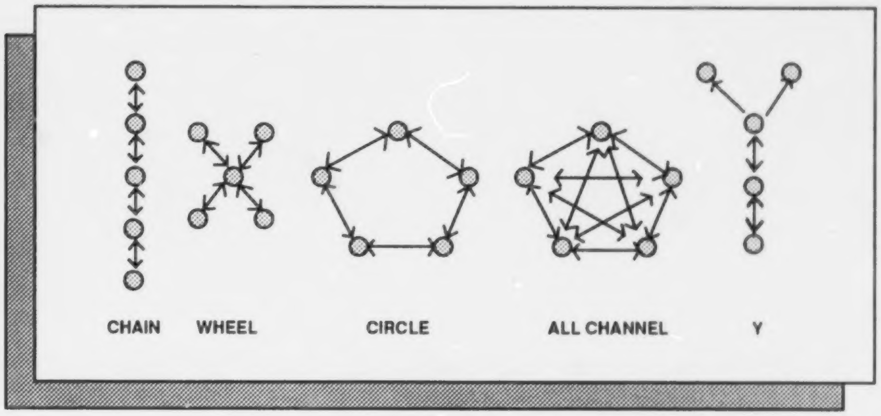

Fig. 16-1

The Wheel, and, to a lesser degree, the "Y," are centralized patterns because all information has to flow through a single point. They are best employed when control, speed, and accuracy of information are important, and when individual relationships are paramount to the communicator. The Chain represents the hierarchical view of communication, although some feedback is suggested. This network is appropriate in situations where communicators are in a sharing mode yet want to maintain role separation.

THE PROCESS MODEL

Although many communication models have been developed, most are variations of a classic communication schema, comprising a message to be sent by the sender, the encoding of the message by the sender, the transmission of the message through a channel, the decoding of the message by the receiver, and the reception of the message by the receiver. Other factors that affect the quality of the message include feedback, communication barriers, and the surrounding environment. Figure 16-2 below is an adaptation of the classic communication model, with the addition of "Setting" as a major element in the communication process. (See also Domain 21, Public Relations.)

The model illustrates the process by which a sender initiates communication with one or more people. It represents a two-way interactive loop in which one person sends a message and another receives it and gives his or her feedback. The first box at the left (labeled "Message") contains the message or information that the sender wishes to communicate to an individual or group.

MESSAGE

A principal's mind brims with ideas, questions, solutions, and directives. Not surprisingly, he or she will send and receive messages at a phenomenal rate during the school year. It is not uncommon for a principal to engage in more than 200 interactions on a given day (Morris et al., 1984).

Principals communicate daily with assistants, teachers, students, secretaries, custodians, and parents. They also talk frequently with other administrators, district personnel, and community members. All of these contacts are important, and although principals may not always initiate these communications, they will generally be expected to provide feedback.

Some messages are intended; that is, a sender deliberately attempts to transmit or convey a specific message. Some are unintended and are transmitted primarily through nonverbal communication. A sender's nonverbal cues (manner of dress, facial expressions, posture, and so forth) affect the communication.

If a message is unclear or poorly communicated, an unintended message may simultaneously be delivered. Negative unintended messages can result in misunderstandings, inaccurate information, and false assumptions. Positive unintended messages transmitted through smiles, handshakes, etc., can strengthen a message and a receiver's response to it.

ENCODING

Encoding is the ability to put thoughts into words or actions. It takes place in the sender's mind once he or she decides to trans-

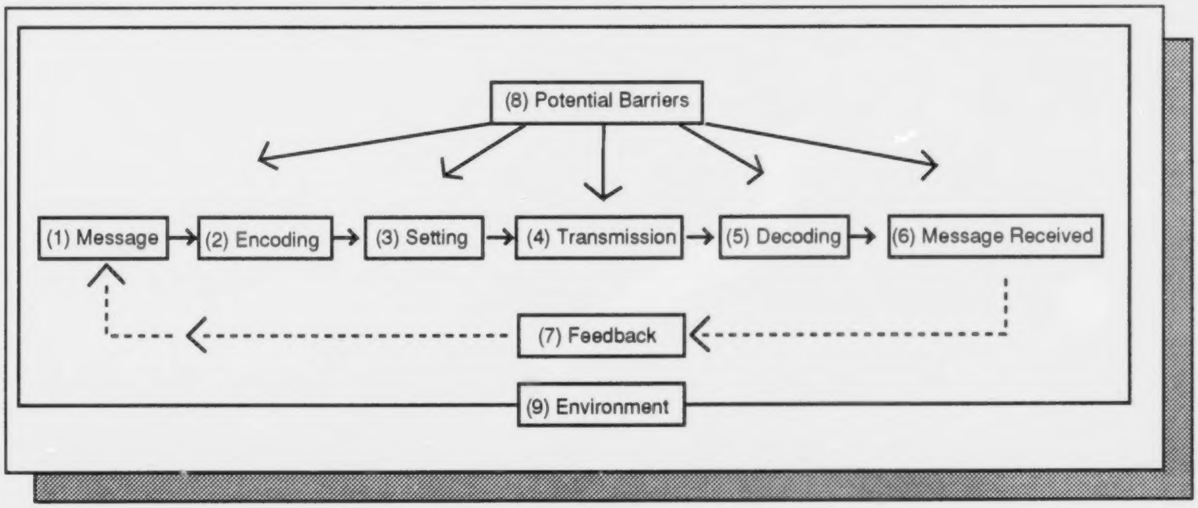

Fig. 16-2

mit a message. In an effort to communicate the most accurate meaning to an intended receiver, the sender first organizes the message in symbols (e.g., words, facial expressions, body movements, etc.). The choice of symbols affects the meaning of the message during transmission. For example, communications conducted face-to-face rather than over the telephone or in writing are more likely to be conveyed accurately (Daft & Lengel, 1984).

The encoding process is a critical one because the meaning of a message may be distorted by the significance a receiver attributes to the sender and the chosen symbols. The status of the sender, his or her knowledge of the subject, and his or her personality (e.g., values, interests, preferences, leadership skills, and motivational needs) influence the receiver as he or she screens, filters, and determines the quality of the message. Hoy and Miskel (1991) refer to these characteristics as "conceptual filters."

SETTING

It has often been said that "there is a time and a place for everything." This is especially true when it comes to selecting the most appropriate setting for message delivery. Every message, after all, is colored by the setting in which it is transmitted. For example, if a principal says to a teacher, "I'll be visiting your classroom tomorrow," the message will seem more threatening if delivered in the principal's office rather than on the playground or in the hallway.

Choosing a setting is not always possible because many communications are unexpected and occur wherever they arise. If possible, however, a principal should choose settings that will allow messages to be received with more understanding. It is also important to remember that setting will influence the scope of a discussion and the manner in which it will be conducted.

Once a setting has been chosen, a principal should select presentation aids to enhance and complement his or her verbal messages. These include handouts, audio equipment, overhead projectors, and videotape players, among others. To use instructional media effectively, Fiordo (1990) suggests that they be chosen with the audience in mind.

For a small meeting, the use of a chalkboard might suffice; for a meeting with the entire faculty, an overhead projector might be more appropriate. The physical set-up of the room must also be considered. A room in which chairs are arranged in a semicircle or circle encourages discussion and active participation; a room arranged with parallel rows of chairs discourages discussion and participation, but signals individuals that they are there to receive instruction; a room in which chairs and tables are placed in small group settings indicates that people are expected to work together.

Presentations should be planned and rehearsed, and room settings, seating, lighting, and temperature controls checked in advance. In addition, an evaluation plan should be put into place to gauge the effectiveness of instructional materials.

TRANSMISSION

Message transmission is perhaps the most critical aspect of communication and can occur verbally, nonverbally, or both verbally and nonverbally. Various skills are called into play during transmission. To communicate effectively, messages must be well organized and clear and must make appropriate use of word choice and body language. Congruency between verbal and nonverbal messages is important to prevent contradiction and confusion.

DECODING

Decoding is the process by which a receiver interprets a message and assigns meaning to its symbols. These interpretations are affected by the receiver's own conceptual filter (stereotypes, preconceived notions, expectations, prejudices, etc.).

The way a receiver decodes a message is, to some degree, beyond your control. Nevertheless, you can minimize potential misinterpretations. Clear and concise speech helps eliminate informational gaps. Reiteration and congruency between verbal and nonverbal messages also help lessen the possibility of "mixed messages."

For example, a principal might encourage teachers to send disruptive students to his or her office, yet simultaneously indicate that some teachers probably will not because they can handle such problems on their own. Understandably, some teachers will be confused over what course of action to take. On the one hand, the principal has encouraged them to seek assistance; on the other, he has discouraged them by indicating that the more effective teacher is the one who can solve the problem on his or her own.

MESSAGE RECEIVED

A receiver, be it a person or group, is the recipient of the message created and transmitted by the sender. As the speaker transmits a message, the receiver deciphers (decodes) it and indicates that it has been received. These activities occur almost simultaneously during message transmission.

FEEDBACK

Once a message is decoded, the receiver responds to it. A person cannot not communicate; facial expressions, body language, even inattention or silence, are all forms of feedback. An effective communicator will generally be able to "read" people as they respond to messages, and then react to their feedback in an appropriate manner. Accordingly, active listening is one of the most important skills a principal can master. Listening, responding, exhibiting understanding and concern, and helping others to articulate their frustrations and concerns do more to win support than any amount of talking ever could.

POTENTIAL BARRIERS

Intended messages sometimes become lost or interrupted by barriers (or "noise") (Lunenburg & Ornstein, 1991; Yukl, 1990). Principals need to be aware of these barriers and strive to eliminate them. They include:

Filtering: Senders sometimes filter information, so that only a partial message is conveyed. Messages are filtered for any number of reasons. For example, a complete message may be too long, too technical, or too negative to convey; or it may contain information that would worry, offend, or upset a receiver.

Structure: School districts are hierarchical, which often inhibits and discourages interaction among those on different bureaucratic levels.

Information Overload: Because of all the work principals have to do, they will sometimes experience information overload. As a result, some information may not be transmitted in a timely manner or at all.

Semantics: Different words mean different things to different people. A principal should be aware of word choice and avoid sending messages that can be easily misinterpreted.

Status Differences: Given the hierarchical structure of school districts, status differences can and may interfere with effective communication. To counter this, principals should strive to make all constituencies feel comfortable with one another.

Overinterpretation: Reading too much into a message often prevents the accurate transmission of that message. Accordingly, principals should restate messages and/or ask clarifying questions to be sure they have interpreted them correctly.

Evaluative Tendencies: When listening to others express their ideas and opinions, principals should avoid making qualitative judgments or comments. Instead, they should strive to make others feel that their input is valued.

Stereotypes: One of the most destructive barriers to effective communication is the negative stereotyping of individuals based on race, sex, age, role, and so forth. It is important, therefore, for principals to view each person as an individual whose ideas and opinions are worthy of respect and attention.

Cultural and Gender-Based Differences: Cultural and gender-based factors in communication, if not understood, can impede the messages that principals convey or receive. Principals should be aware of these differences to strengthen communications with staff, students, and community members (see references on pages 16-24 to 16-27).

Arrogance and Superiority: Arrogant and superior behavior is not uncommon among principals. Whether intended or not, it communicates that the opinions of others are not valued. To avoid this, principals should strive to make every person feel worthwhile.

ENVIRONMENT

Unlike setting, which can be controlled to some degree by the message sender, environment encompasses the entire communication process and cannot usually be changed. Environment also encompasses the community in which a message is sent, as well as the value system of that community, the history of communication strategies, and any sensitivities that are specific to a school or community. Although environment is usually a "given" factor, principals should be aware of, and sensitive to, its effect on the communication process.

KNOWLEDGE AND SKILLS

While some people seem to have an innate ability to communicate, many others have acquired equally strong communication skills through study and practice.

Oral and noverbal communication requires skill, knowledge, and judgment regarding message content, transmission methods, and so forth. Principals must understand these choices and make knowledgeable and skillful decisions about them.

The following are suggestions for improving verbal and nonverbal communication and for giving appropriate feedback.

VERBAL COMMUNICATION

Listening: To understand a message, principals must first listen to it. Much knowledge can be gained through active listening, and with knowledge, appropriate feedback can be given.

Honesty: Principals must deal honestly with all of their constituents. They should not be afraid to admit a lack of knowledge or understanding. They should express their ideas with passion, not with overloaded emotion, and should strive to express disagreement without being disagreeable.

In addition, principals should communicate a positive image, and be consistent and natural when it comes to intonation and word choice.

Clarity: Principals should use appropriate grammar and vocabulary. They should be brief, yet specific, and avoid educational jargon.

Be Factual: Principals should present information in a simple and logical way, using specifics whenever possible to paint a more vivid picture. They should let "arguments" stand on their own merits and not attack or become emotional toward others. They should also recognize values when communicating priorities to others.

Be Timely: Principals should not let problems fester. They should take a positive stance when communicating new ideas and discuss them at length with all concerned before making decisions about implementation. In addition, principals should remember that the timing of a message can be just as important as its content.

Ensure Understanding: Principals should facilitate communication flowing to and from their schools. As receivers, they should ask clarifying questions or restate messages to check for accurate understanding. As senders, they should periodically summarize messages and give clear examples to strengthen their meaning. In addition, principals should actively seek and offer feedback.

Choose the Setting: Principals should deliberately think through available choices and choose the optimum setting for the type of message they want or need to send.

Know Your Audience: Principals should try to see things from their audience's perspective and empathize with the audience when appropriate. Principals should use language that is understandable and meaningful to the audience. Audience priorities should be valued and their role made understood. Principals should plan their messages carefully and be aware that the attention span of the average adult rarely exceeds 1 hour, no matter how interesting the subject matter. In addition, principals should know their material, maintain eye contact, stay on track, and expect to answer questions.

Be Organized: Principals should plan and rehearse their presentations to assure that their messages will be received and that they do not waste other people's time.

Choose the Channel: Principals should carefully plan how they will transmit their messages, remembering that how a message is transmitted is just as important as what the message contains. Principals should use chalkboards, charts, easel displays, pictures, and other aids when presenting new or difficult information. Overhead projectors can be used, but used sparingly, and only as a tool to transmit or clarify information.

FEEDBACK SKILLS

Principals frequently interact with others. It is essential, therefore, that they learn to pay attention to and show interest in what others are saying. Yukl (1990) describes six techniques that are designed to show interest, indicate respect, encourage speakers to share their thoughts, and determine if a message has been interpreted accurately. They are:

Maintain Attention: Principals should maintain direct contact and not engage in distracting behaviors such as shuffling papers, tapping fingers, writing notes, etc.

Use Restatements: Principals should restate or paraphrase the important parts of the speaker's message. This will not only demonstrate to speakers that they have been heard, but will help principals test their understanding of what has been said.

Show Empathy: At times, individuals are reluctant to communicate because of the nature of the information to be conveyed, or because they fear rejection, ridicule, or disapproval. Principals can encourage them by showing concern for their feelings.

Use Probes to Draw the Person Out: A probe is a comment or a nonverbal cue principals can use to encourage individuals to continue talking about a particular subject. Probes should be used in a nonthreatening manner and should not suggest any form of evaluation. Typical probing comments are: "What would you recommend?", "What happened next?", "Were you concerned about his statement?", and "Did you ask someone to give you help?"

Encourage Suggestions: Individuals will often approach principals with problems that need to be solved. Ideally, principals should encourage them to find their own solutions before offering advice or solutions. Shared problem-solving efforts are helpful and create feelings of trust among individuals.

Synchronize Interaction: It has been said that "there is a time to speak and a time to listen." Giving others an opportunity to express their thoughts and feelings is important, especially if they are irate, frustrated, or emotionally disturbed. Communications flow more easily between principals and others when there is this "give and take"; the communications also become more satisfying.

The above techniques should be adapted to the needs of the situation and the people involved. One note, however—they can become manipulative if overused.

NONVERBAL COMMUNICATION

Actions often speak louder than words, and so do nonverbal messages. To avoid transmitting negative cues, principals should be sensitive to the following aspects of nonverbal communication:

Use Eyes and Facial Expressions Effectively: Most people study other people's eyes when looking for social acceptance. People tend to look longer and more often at those they trust, respect, and care about. Accordingly, principals should maintain eye contact. If they do not, they may give the mistaken impression that they don't trust, respect, or care about others. At the same time, principals must understand that some cultures (Native American, for example) do not value eye contact for a variety of reasons. While eye contact should be given, it is important that principals not misinterpret the motives of people who do not return this contact. The majority culture may consider people who fail to return eye contact as disrespectful or untrustworthy. Principals must not assign these traits to persons of other cultures and must learn to deal with their own discomfort about not receiving eye contact. Gender differences may also come into play here.

Vocal Quality: "Vocal variations are fundamental components of expressive oral communication. If vocal information contradicts verbal, vocal will dominate" (Miller, 1988, p. 17). Voice and message must be congruent. Principals should therefore strive for a tone that communicates friendliness and openness, even to strangers. Gender differences—for example, the tendency of many women to seek a cooperative rather than a competitive mode—may come into play here.

Be Aware of the Effects of Haptics (Touching): In most human relationships, touching can give encouragement, express tenderness, and show emotional support. In the majority American culture, "touch is often used as a symbol of socioeconomic status—superiors may touch inferiors, but the reverse is not likely" (Miller, 1988, p. 17). For this reason, status could prohibit a teacher from touching a principal. While a simple pat on the back for a job well done is a much used and usually accepted form of praise by principals, gender differences complicate this form of communication. Principals and teachers should discuss this matter to determine what is preferred by all parties concerned. When giving nonverbal praise, principals should always use forms valued by the recipient.

Use Positive Kinesics (Body Posture and Movements): People reveal what they feel about themselves and others through body posture and movements. Body orientation (the degree to which a speaker's legs and shoulders face a listener) indicates status, as well as how much a speaker likes a listener. Accordingly, the more direct a principal's orientation is, the more positive his or her attitude will be. Again, it is important to recognize that some cultures use nonverbals differently. Some are louder, some use more hand gestures, some stand closer, etc. Principals should understand their own comfort levels and check these perceptions with the communicator. Is the person angry or just intent?

Proxemics (Use of Space): Principals should carefully plan group meetings with regard to physical space. They should choose the most appropriate setting, arrangement of furniture, and placement of guests. In addition, principals should learn to "read" the space needs of others, including the need for "intimate" space, the 1 to 2 feet surrounding individuals that should not be entered until a personal rapport has been established.

Dress and Appearance: Whether intentionally or not, principals send messages by the way they are dressed and groomed. Clothing reflects the "personality, attitudes, and values of the wearer" (Miller, p. 19). "Dress can either alienate or persuade."

Further, "appropriate dress is a method of expressing respect for both the particular situation and the people in it" (Miller, p. 18).

PERFORMANCE STANDARDS

One of a principal's primary goals should be to communicate effectively with his or her constituencies. The objectives below are promoted through the training suggestions for this domain.

PERFORMANCE STANDARDS

After completing this domain, principals should be able to:

1) understand, identify, and explain the elements of the communication model;

2) identify effective and ineffective nonwritten behaviors;

3) be sensitive to nonverbal communication behaviors in yourself and others;

4) choose appropriate channels, timing, and settings for intended communications;

5) articulate ideas and beliefs clearly, using proper grammar and word choice;

6) use positive listening skills;

7) send and receive feedback;

8) communicate equally well with teachers, students, parents, peers, district and state personnel, and community members;

9) be aware of cultural and gender factors in communication;

10) be skilled at giving effective presentations to large and small groups;

11) choose appropriate settings for meetings and make appropriate physical arrangements; and

12) use current media technology to enhance and improve communication.

EDUCATION AND TRAINING

To gain skill in the objectives for this domain, the activities below are offered. These activities emphasize the importance of good communication and are designed to foster skill development in nonverbal expression.

Communication Model: On a piece of paper, trainees draw and identify each element of the communication model. They then explain the factors that might affect the elements, and identify and explain behaviors that can hinder the communication process. This should be one of the first exercises trainees complete. (This exercise reflects performance standards 1 and 2.)

Group Presentation: Serving as presenters, trainees should organize a group meeting and make decisions about channel of transmission, setting, timing, use of educational aids, physical arrangements, and so forth. Presenters will prepare oral presentations, and audience members will be given forms to evaluate both the presentation and presenter. (This exercise reflects performance standards 4, 8, 9, 10, and 11.)

Videotaped Presentations: Trainees should have at least two opportunities to be videotaped while role playing. Ideally, every practice exercise should be videotaped, observed, and analyzed. This gives trainees an opportunity to observe how they communicate verbally and nonverbally, and enables them to correct poor performance and observe improvement in subsequent exercises. These videotapes can be viewed by other trainees, who can then offer valuable feedback. (This exercise reflects performance standards 2, 3, 6, 7, and 8.)

Presentation Critique: In this exercise, trainees are required to observe a presentation given by a nontrainee. Trainees critique the presentation in terms of setting, media, channel, clarity, organization, and so forth. (This exercise reflects performance standards 2 and 3.)

Mock Interviews: Trainees should be involved in mock interviews in which they role play the part of interviewer and interviewee. This allows them to practice the verbal and nonverbal skills required in this critical situation. Videotaping is especially helpful in this exercise. (This exercise reflects performance standards 3, 5, 7, and 8.)

Role-Playing Exercise: Three trainees are involved in this exercise. One plays the part of a principal; one plays the part of a parent, student, or faculty member; and one serves as an objective "coach," or mentor, to the principal. The first two trainees receive a scenario with somewhat differing sets of facts. (See Fig. 16-3 for sample scenario.) The third trainee, or coach, receives both scenarios. During the exercise, the coach observes the interaction and offers feedback to the principal after it has been completed. Trainees are given 10 minutes to study and prepare for the exercise, which should take approximately 10 more minutes to complete. Role assignments can be changed to give each trainee a chance to be the principal. (This exercise reflects performance standards 2, 3, 6, 7, 8, and 9.)

Film Clips: Trainees should have the opportunity to view film clips of notable speakers and the techniques of effective communication. These are available from school, university, and public libraries. (This exercise reflects performance standards 1, 2, and 3.)

ROLE-PLAYING SCENARIO

From the teacher's perspective:

Music teacher Mrs. Jones wants to take the high school choir on an extended, out-of-state concert tour. She has parent support and knows that her students can easily raise the $10,000 necessary for the trip. A donor has already given $1,000 toward expenses, and there is $500 in the choir treasury to assist financially students who might otherwise be unable to go. Mrs. Jones believes this trip is necessary for her students and for recruiting future choir members. Other district choir directors have taken similar trips; in addition, the school football team recently traveled to a nearby state. Accordingly, Mrs. Jones would like permission from the principal to proceed.

From the principal's perspective:

Principal Smith knows that Mrs. Jones is one of his best teachers. Recently, Mrs. Jones asked for permission to take her choir on a 2-week, three-state trip, during which time the group would perform 15 concerts. Mrs. Jones's presentation was well organized and addressed (and resolved) potential problems such as fundraising, transportation, housing, supervision, etc. Principal Smith told her he would consider her request and get back to her in a few days. Ultimately, he decides against the trip. He has several concerns. Among others, the trip is planned for February when weather conditions may make traveling hazardous; raising $10,000 will put an undue burden on parents and students; students already have an ample opportunity to perform locally; and he does not believe students should miss 2 weeks of school. Principal Smith must now decide where and when to meet with Mrs. Jones and how to tell her of his decision.

Fig. 16-3

MEASUREMENT PROCEDURES

The measurement of oral and nonverbal expression is best accomplished through direct observation methods. These methods should include the trainee's evaluation of his or her communication skills (see Fig. 16-4) and the evaluations of those who observe the trainee in interactional situations.

Three following specific evaluation methods are recommended:

- communication skills assessment
  - self-evaluation
  - observers' evaluation
  - worksheet
- scenario critique
- group presentation

COMMUNICATION SKILLS ASSESSMENT

The assessment has three components: the self-evaluation, the observers' evaluation, and the worksheet. The first two components, or instruments, evaluate the trainee's effectiveness in verbal and nonverbal communication. The worksheet summarizes the previous instruments and helps trainees identify the areas in which they need improvement. These instruments can also be used to report on a trainee's performance after training has been completed. Scoring scales are designed to identify skill-level mastery, not to indicate unresolvable problems. Examples of all three instruments are available from the authors.

SCENARIO CRITIQUE

In this exercise, trainees are given one or more scenarios involving a principal and his or her interaction with others. Trainees critique the principal's performance; more specifically, how the principal's verbal and nonverbal behaviors hindered communications. Trainees then choose to write a report on how the situation could be improved or role play the situation, as one or more raters observe. The written reports and observers' reports indicate how well trainees are able to identify the problem areas that principals face.

A sample scenario is available from the authors.

GROUP PRESENTATIONS

Trainees enrolled in practicums or internships should be given an opportunity to take charge of a group meeting. Trainees should help plan the meeting and make decisions regarding message content, channel of transmission, setting, timing, media usage, and so forth. Trainees should actually make a presentation during the meeting.

Additional materials, including specific instruments, are available from the writing team leader.

Self-Evaluation Instrument

Trainees: This inventory will help you increase your effectiveness as a school leader by helping you learn more about your verbal and nonverbal communication skills. Please answer each item accurately and honestly using one of the following responses: "always," "often," "sometimes," "seldom," "never," "not sure."

- I plan for good communication to take place.
- I use correct English.
- I avoid jargon in my communications.
- I articulate my ideas and feelings effectively.
- I show respect and consideration when talking to others.
- I choose the best setting to express myself to others.
- I recognize and respond to verbal and nonverbal cues given by others.
- I demonstrate skill in nonverbal communication.
- I express disagreement or support without being disagreeable or condescending.
- I avoid dominating conversations.
- I let others know how well they are doing in the performance of their duties.
- I make effective use of media and technology when communicating to groups.

(Observers can use a similar instrument to evaluate trainees on their verbal and nonverbal skills.)

Fig. 16-4

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WRITTEN EXPRESSION

DOMAIN 17

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WRITTEN EXPRESSION

DEFINITION

Written Expression: Expressing ideas clearly in writing; writing appropriately for different audiences such as students, teachers, and parents; preparing brief memoranda, letters, reports, and other job-specific documents.

As community and instructional leaders, principals have an opportunity both to exemplify and to teach the power of the written word. This domain focuses on ways to master this essential craft: how to organize thoughts accurately and succinctly, choose appropriate formats for written communications, and reach targeted audiences.

LITERATURE REVIEW

The central role of communication to effective leadership is well documented (Conrad, 1985, George, 1968; Khandwalla, 1977). Most managers consider the ability to communicate well in both verbal and written form as essential to success (Bennett & Olney, 1986; Hildebrandt, Bond, Miller, & Swinyard, 1982). In particular, there is a growing recognition that effective written communication skills are essential to leaders (Goldsmith & Brown, 1980). Smeltzer (1981) found that written communication has important implications for supervisory effectiveness. Madeline (1980) maintained that the primary qualities business executives look for in evaluating successful executives are honesty, candor, good judgment, intelligence, imagination, and the ability to write clearly and concisely.

According to Conrad (1985), managers and researchers agree that organizations must maintain good levels of communication to function successfully and that increasing the effectiveness of communication within the organization enhances operating efficiency and productivity.

Equally significant has been the finding that persons who understand the functions of communication in an organization, who have developed a wide repertory of written and oral communication skills, and who have learned when and how to use those skills apparently advance more rapidly and contribute more fully to their organizations than do others (Conrad, 1985).

In educational administration, communication skills are viewed as essential (Faily, 1970). According to Gorton (1980), school leaders engage in communication activities more frequently than in other management processes. Thomas (1982) emphasized that school leaders are responsible for the direction of schools requiring skills in writing, speaking, and listening. Likewise, Kiernan (1974) pointed out that the principal is responsible for the public relations climate of the school by interacting with all the various publics.

Paddock (1981) finds that principals have more community contacts than in earlier decades, requiring increased skills in oral and written communications. The effective schools research shows that productive schools have effective leaders who can interact successfully with students, teachers, and parents, as well as with central office personnel (Barth, 1981). Cassidy and Micklos (1982) found that creating a good public image depends on the ability of principals to communicate a message accurately, honestly, and effectively. According to Brannon (1983), effective leaders use multiple methods of communication to reinforce goals. He stated that some people understand visual communication better, whereas others understand verbal communication more easily. Most people understand both forms of communication when they reinforce one another.

In any organization, as positions become more supervisory, managerial, and administrative, communication skills become even more important (Aldrich, 1982). Yet, Lewis (1982) discovered that school administrators abuse language by inappropriate use of educational jargon. This deficiency exists despite a clear trend within business and educational organizations to place a greater emphasis on the written format (Collins, 1976; Denton, 1979; Humble, 1985; Jeswald, 1977; Joyce, 1990; Leslie, 1986; Odell & Goswami, 1980; Podsen, 1991; Schmitt, 1980; Smeltzer, 1981; Tomlinson, 1984).

The majority of studies on communication and leadership are concerned about the technical aspects of written communication. Aldrich (1982) surveyed 165 top and mid-level managers who had earned degrees in various fields, moved into management, and found writing to be a component of their jobs. The study discovered that the majority of writers do not know that they need to make preparatory decisions about the purpose, points, and audience of their written message. Although most of the participants demonstrated grammatical and mechanical proficiency, many proved to be ineffective writers. "Without a method of preparation by which to organize their material, they (managers) flounder through their writing tasks, anxious, defensive, and reluctant" (Aldrich, 1982, p. 300). Aldrich suggested that writing anxiety arose because of a lack of knowledge about the value of preparation and a lack of methods to cope adequately with one's occupational writing demands. This apprehension appears to be "preventing otherwise competent people from approaching their writing tasks confidently" (p. 300).

As leaders and role models, principals are in a unique position to improve communication by their quality of writing as well as by providing an example to teachers and students. They are called upon to generate more written materials today than ever before (Paddock, 1981). From press releases and reports to letters and minutes, these materials are more varied and complex than those of yesteryear. More daunting still, they have tremendous impact on student education, teacher outlook, and school image, not to mention a principal's career.

To ignore the development of strong writing skills is to invite trouble. Poorly thought-out documents incur the ridicule and contempt of governmental officials, citizens, employees, parents, and students. And in this litigious age, they may also prompt a summons to court, where a principal's ability—or inability—to write will be laid out for all to see. Copies of internal and external letters and memos, records of telephone conversations, and minutes of meetings must all be made available if subpoenaed (Robinson & Smeltzer, 1984).

Despite the obvious link between good writing and effective school leadership, today's principal preparation programs pay little attention to written communications. In fact, no university at the graduate level offers required or elective courses in the job-specific writing skills so crucial to principals. As a result, graduate students leave the university under the false assumption that they write well enough to turn any phrase their jobs might require. Most, in reality, enter their careers dependent upon what they learned in grades K-12 and in undergraduate English composition classes.

THE BUSINESS SECTOR

Literature linking written communication and corporate leadership reveals a growing recognition of the impact of strong writing skills on supervisory effectiveness and job promotion. The literature also identifies the one phase of writing that most needs improvement: planning (Aldrich, 1982). Business leaders, it appears, spend too little time planning what they will say and how they will say it. As a result, their written communications are not as effective as they could be.

According to the literature, business executives have identified seven problem areas in their written communications: sentence length, paragraph construction, misspellings, succinctness, clarity, purpose, and organization. They have also identified the types of materials that consume most of their writing time: memos, letters, and reports (Rader & Wunsch, 1980).

THE EDUCATION SECTOR

Although the literature about educational leadership skills is far less extensive, it also suggests a strong tie between written skills and job effectiveness. More specifically, it suggests that school principals are the primary facilitators of communication within the school community, and that improved communication skills (oral as well as written) can improve education and help restore public confidence in schools.

The audiences principals address through their written communications have changed in recent years. Research from more than a decade ago reveals that

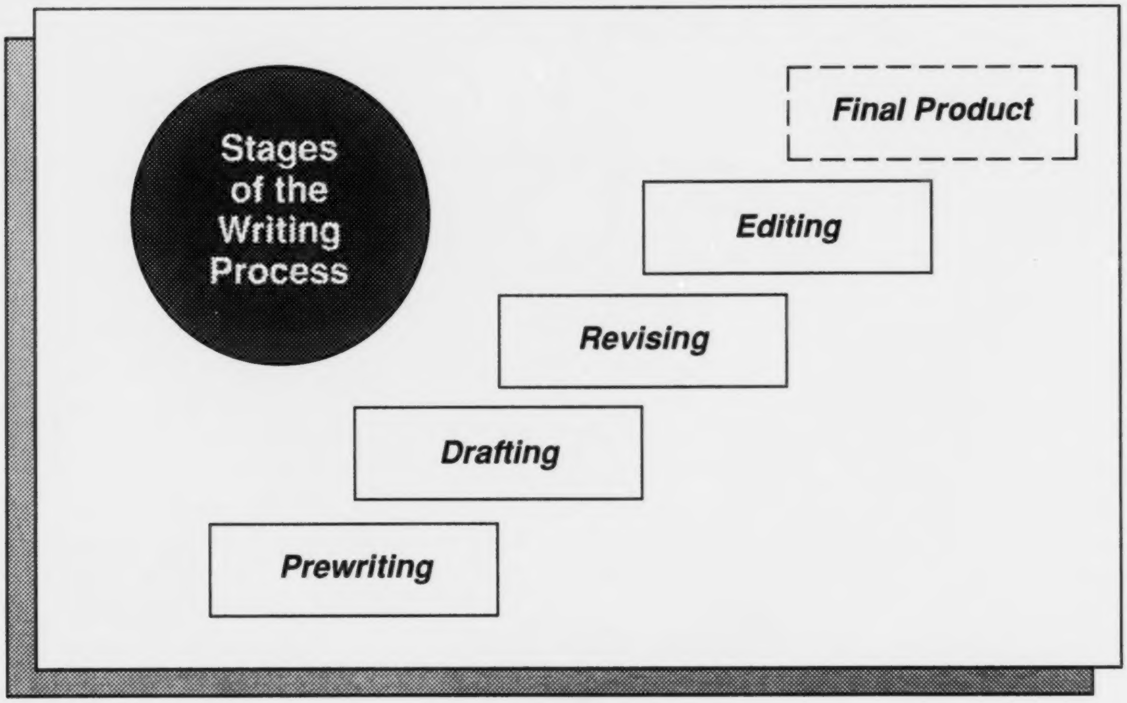


Fig. 17-1

principals used to communicate most frequently with internal audiences (Kiernan, 1974; Wherry, 1979). Today's administrators communicate as frequently with external audiences (Podsen, 1991). Interestingly, principals in all of the cited studies generated the same types of documents. Memos, letters, reports, articles, and newsletters were generated most frequently; brochures, pamphlets, bulletins, news releases, journal articles, in-service materials, and questionnaires were generated least frequently.

Analyses of school administration communications reveal the need for current and prospective principals to take writing courses (Humble, 1985). These courses should teach business correspondence, good writing mechanics (e.g., how to write prose that is clear, concise, accurate, grammatically correct, and free of jargon), and ways to reach different audiences, particularly parents (Humble, 1985; Lewis, 1982; Podsen, 1991).

THE PROCESS MODEL

The preparation of school administrators occupies the center of most current reform movements in education administration (Griffiths, Stout, & Forsyth, 1988). One of the themes to emerge from these movements is that training be made more relevant by directly linking it to the problems of practice.

Problem-based learning is used as a framework in most professional schools, including law and medicine. Their curriculums focus on the acquisition of knowledge and skills that directly apply to practice and can be demonstrated in clinical settings.

Bridges and Hallinger (1991) have identified five characteristics of problem-based learning: 1) learning begins with a specific problem; 2) problems are those that students are apt to face in their field; 3) learning is organized around problems, not disciplines; 4) students assume a major responsibility for learning and instruction; and 5) learning primarily occurs within small groups rather than in lectures.

This domain was developed using problem-based learning as a guide.

THE WRITING PROCESS

Writing is not a linear process; rather, it has four key stages, all of which are interconnected. (See Fig. 17-1.) Becoming familiar with these stages and understanding how and why they relate can be advantageous to principals. Joyce (1990) explains why in her book, *Written Communications and the School Administrator*:

> First of all, understanding the process will improve your own writing. After learning how writers go about their work, you can produce docu-

> ments in the same way. Second, by familiarizing yourself with the writing process, you will have a better understanding of how writing is taught today in language arts classes. If parents have concerns about these classes, you will be able to explain the writing program to them. Finally, there is an emphasis today on writing across the curriculum; all teachers, no matter what the subject area, are asked to include writing assignments in their courses. Students are being required to write because writing is seen as an effective method of getting them to think about course content. In your role as an instructional leader, you will be able to assist all teachers with writing across the curriculum if you understand how writing is being taught. (pp. 4-5)

Prewriting: Before a writer can begin work on a first draft, he or she must go through a series of steps, known collectively as prewriting. During this phase, the writer generates ideas and gathers data. This can be accomplished through structured or nonstructured techniques, such as brainstorming, mind mapping, freewriting, outlining, audiotaping, problem-solving, force-field analyses, observations, discussions, and document reviews.

Once the writer is confident that enough data have been gathered, he or she begins to organize it. Material can be presented in any number of ways: chronologically, by topic area, or via formats that highlight cause and effect, problems and solutions, comparative advantages, needs-plan-benefits, etc.

Next, the writer sets specific document goals. These can be simple or complex (e.g., "I think I'll write the introduction first," or "I want to open with a statement about my position on this issue").

Drafting: After prewriting activities have been completed, the writer begins work on a draft. First, he or she determines the communication's objective (is it to inform, instruct, persuade, thank, congratulate, admonish, respond to a request?). He or she also identifies the document's targeted audience (is it an individual or group?), the audience's attitude to the material (will it be positive, neutral, or hostile?), and the amount of information the audience will need to know in order to understand and/or act on the munication. In addition, the writer must choose the most appropriate format for the communication (e.g., memo, letter, note, etc.)

At this stage in the process, the writing is somewhat automatic, meaning less conscious attention is paid to such things as spelling, punctuation, word choice, sentence construction, syntax, purpose, organization, and clarity. Instead, the writer focuses on broader issues and pauses between writing episodes to develop and fine-tune further his or her objectives.

Revising: Revising is not to be confused with editing. Whereas editing is the process by which errors are corrected, revision is the process by which a document is evaluated to determine if it delivers its intended message to its intended audience.

If a writer finds his or her document wanting, he or she makes changes to it. He or she reorganizes paragraphs, inserts transitional words or phrases to increase coherence and fluency, and rewrites sentences (e.g., replacing long, complicated sentences with shorter, more readable ones, or combining short, choppy sentences into longer, smoother ones). He or she might also add or delete information, replace educational jargon, or cast the piece in a more positive tone.

Although experienced writers often revise and edit concurrently, revising is usually more effective when there is a break, or pause, between the drafting and revision stages. This enables the writer to view the material with "fresh eyes."

Editing: Editing is the final stage in the writing process. Its purpose is to produce an accurate, sensitive, and concise piece of writing that reflects the professional image of the writer.

During this phase, the writer carefully reviews the document for errors in spelling, grammar, punctuation, word choice, and tone. More specifically, he or she will omit redundant words and expressions, check the spelling of unfamiliar names and words, clarify abbreviations, check for logical antecedents, and so forth.

Finally, the writer will put the document into a format that makes it easy to read and visually appealing. (Longer documents, for example, might include a table of contents, headings and subheadings, visual aids, and appendices.) Choice of format is important because it enhances the document's message as well as the writer's professional image.

KNOWLEDGE AND SKILLS

The wide variety of documents that principals must prepare, together with the range of audiences with whom they must communicate, places some extraordinary demands on principals to write clearly. It is essential, therefore, that principals possess a level of writing skill sufficient for these expectations. This requires practice as well as knowledge, for writing is a craft improved primarily by practice.

Effective written documents broaden the influence of the principal, reaching some audiences that seldom or never are met face to face. Written material, in fact, often is viewed as more "official" or important than is oral communication.

Good writing skills improve the credibility of principals as educators, as well. These skills (acquired through study and practice) require competency in several key areas. Specifically, principals must be knowledgeable of:

- the stages of the writing process (prewriting, drafting, revising, and editing);
- the types of documents they will be called on to write and the circumstances under which they are written;
- the standards written materials must meet to assure coherence, precision, and accessibility; and
- the group management skills required for working on collaborative projects.

THE WRITING PROCESS

When developing documents, principals must be able to demonstrate knowledge of the four-stage writing process. They must be able to generate ideas through structured and nonstructured techniques and gather information through interviews, document reviews, and on-site observations. (Taken together, these steps are called prewriting.) They must be able to define their communication's intent, choose its most appropriate format, identify their audience, organize their ideas and data, and prepare a draft (drafting). They must also review and rework their material to assure that it achieves their objective (revising), and that it is free of common writing errors (editing).

Key behaviors for implementing the writing process include:

Prewriting

- creating several goals to help generate content;
- gathering information from external sources (e.g., books, periodicals);
- using brainstorming or mapping techniques to generate ideas, make notes; and
- spending time planning before drafting.

Drafting

- developing an outline to organize ideas;
- writing a brief statement of purpose;
- pausing to plan words, sentences, or larger elements of text;
- preparing a working draft; and
- devoting little conscious attention to mechanical skills such as handwriting, spelling, punctuation, etc.

Revising

- making a second draft;
- adding new information to clarify or augment text;
- revising sentences for conciseness and to delete unnecessary information;
- reorganizing text to improve cohesion and sequence;
- using transitional sentences to link paragraphs;
- reviewing text for purpose and for intended effect on audience; and
- varying sentence beginnings for reader interest.

Editing

- proofreading text to correct common writing errors in spelling, punctuation, grammar, and syntax;
- rewriting sentences to eliminate jargon and sharpen word choice; and
- eliminating emotionally loaded or offensive terms.

JOB-SPECIFIC DOCUMENTS

Principals must be able to produce a variety of documents during the course of a school year. These include memos, letters, grants, proposals, professional development and school improvement plans, and written examinations to demonstrate professional knowledge and competency. Principals may also be called on to prepare summaries of journal articles, parent and staff conferences, classroom observations, applicant interviews, and committee meetings. All of these documents must be well written and well targeted.

An important feature of tailoring documents to specific audiences is readability. The Parent Institute has developed readability guidelines for staff, parents, and students that are useful for principals. (See Fig. 17-2.)

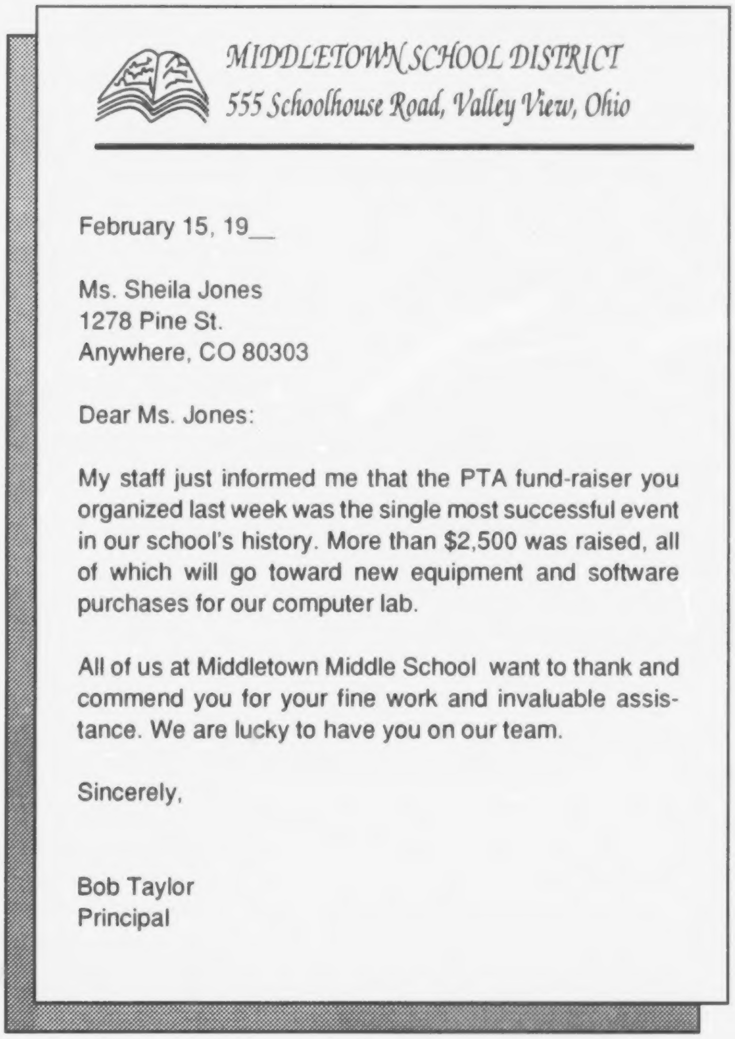
READABILITY GUIDELINES FOR VARIOUS TARGET AUDIENCES

	Professional School Staff		Parents, general community groups, classified school staff	Students
	Day-to-day communications	Professional studies and reports		
Recommended average reading grade level	9th	11th	5th	Current grade level
Recommended maximum reading grade level	11th	13th	6th	Current grade level +1

FIG. 17-2

Key behaviors for developing job-specific documents include:

- writing clear and effective correspondence to parents, teachers, students, support staff, district administrators, news media, and community groups;
- using memos effectively for a variety of purposes (e.g., to give information, initiate action, provide news, suggest ideas, etc.);
- completing complex reports by checking for completeness and accuracy, knowing that reports are audited by district, state, or federal agencies;
- writing grants and proposals for special projects at the school site;
- writing news releases, public service announcements, newsletters, journal articles, and surveys;
- preparing summaries of journal articles, parent and staff conferences, classroom observations, interviews of applicants, or meetings of committees; and
- writing professional development and school improvement plans.



MIDDLETOWN SCHOOL DISTRICT
555 Schoolhouse Road, Valley View, Ohio

February 15, 19__

Ms. Sheila Jones
1278 Pine St.
Anywhere, CO 80303

Dear Ms. Jones:

My staff just informed me that the PTA fund-raiser you organized last week was the single most successful event in our school's history. More than $2,500 was raised, all of which will go toward new equipment and software purchases for our computer lab.

All of us at Middletown Middle School want to thank and commend you for your fine work and invaluable assistance. We are lucky to have you on our team.

Sincerely,

Bob Taylor
Principal

Fig. 17-3

WRITING STANDARDS

Every type of document has its own format. Letters and memos, for example, have three parts—an introduction, a body, and a conclusion. They differ, however, in the number and type of components they contain. Whereas letters have six distinct components (a heading, inside address, salutation, body, complementary close, and signature), memos replace some of these components with an opening DATE/TO/FROM/SUBJECT list. (See Figs. 17-3 and 17-4.) Reports, grants, newsletters, press releases, etc. also have standard components, and principals must be familiar with each in order to produce effective documents.

While format standards should be followed, adherence alone will not guarantee a document's success. The document must also be free of factual and grammatical errors, misspellings, educational jargon, inconsistencies, and incoherence.

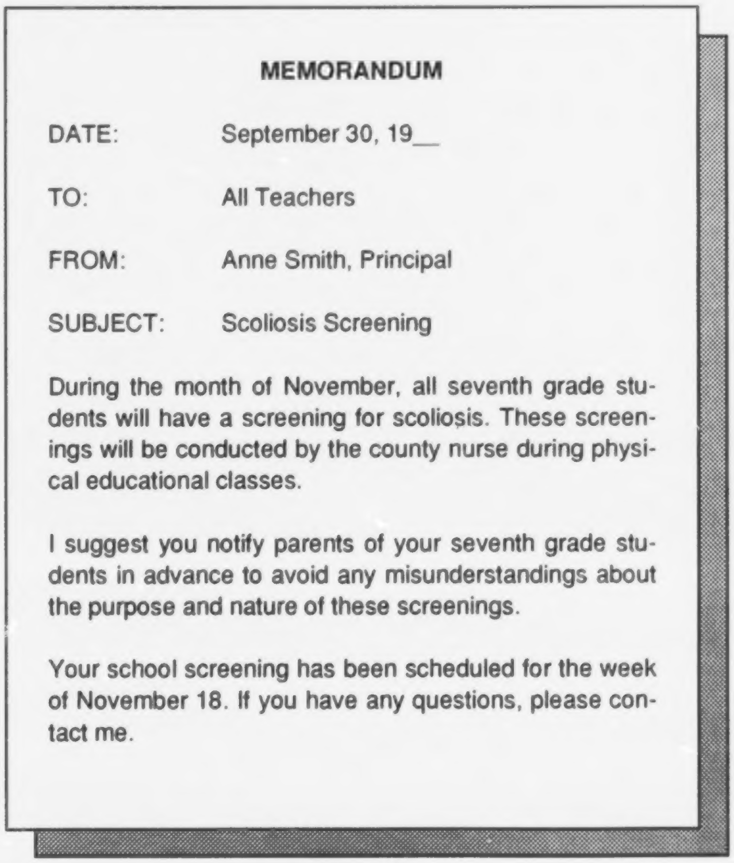
Key behaviors for achieving writing standards include:

Memos and letters
- composing memos and letters that demonstrate the basic three-part format;
- knowing the appropriate audiences for memos and letters;
- composing letters that include heading, inside address, salutation, body of the letter, complementary close, and signature; and
- writing memos that demonstrate the correct form.

Reports
- demonstrating content accuracy in a report;
- knowing the basic components in a formal report (e.g., title page and text of report) and understanding that additional components (e.g., table of contents or list of references) may be added, depending on purpose and audience; and
- knowing how to write and organize headings and subheadings; and being able to organize the body of the report and prepare graphs, if useful.

Grants/proposals
- seeking to know the sources for grants; and
- including the basic components in developing a grant proposal: evidence of need, activities/objectives, method of evaluation, and project budget.

Public announcements
- knowing and demonstrating the basic writing format (the inverted pyramid style) in developing news releases and news articles (See also Domain 21, Public Relations.);
- planning the layout of newsletters and writing effective headlines and captions;
- developing surveys to gather information from the community; and



MEMORANDUM

DATE: September 30, 19__

TO: All Teachers

FROM: Anne Smith, Principal

SUBJECT: Scoliosis Screening

During the month of November, all seventh grade students will have a screening for scoliosis. These screenings will be conducted by the county nurse during physical educational classes.

I suggest you notify parents of your seventh grade students in advance to avoid any misunderstandings about the purpose and nature of these screenings.

Your school screening has been scheduled for the week of November 18. If you have any questions, please contact me.

Fig. 17-4

- writing and publishing articles in professional journals.

Summaries/plans
- preparing summaries of articles, observations, and meetings that present the most important information in as few words as possible; and
- preparing comprehensive plans reflecting five basic components: objectives, descriptions of current status, strategies, method of evaluation, and dissemination of results.

Technical proficiency
- releasing written documents without writing errors;
- demonstrating the ability to correct common writing errors: illogical shifts in tense and voice, subject-verb agreement, lack of pronoun agreement with antecedents, vague pronoun references and dangling modifiers, misspelling and misuse of words; and
- demonstrating the ability to write for various audiences by varying sentence length and vocabulary and revising for effect on audience.

COLLABORATION

Principals often collaborate on writing projects. For this process to be successful, they must be good writers as well as good managers and leaders.

Key behaviors for achieving cooperative writing include:

- seeking feedback from colleagues on written documents;
- establishing committees to work on writing projects (e.g., handbooks and policy manuals);
- using the four stages of the writing process to guide the work of writing committees;
- using faculty to generate ideas and gain knowledge in specific areas of expertise;
- assisting faculty or new administrators in developing written documents and professional articles;
- emphasizing the value of collaborative writing efforts; and
- with teachers, making good, clear writing a school priority.

PERFORMANCE STANDARDS

One of the primary goals for principals is to communicate effectively through well written and well organized documents that are tailored to specific audiences. The performance objectives below are designed to meet this goal.

PERFORMANCE STANDARDS

After completing this domain, principals should be able to:

1) understand the importance of strong writing skills to their careers and schools;

2) assess one's current writing skills and attitudes;

3) understand and apply the four-stage writing process to job-related documents;

4) identify various types of job-specific documents and the functions each serve;

5) produce a variety of well targeted documents that are structurally, grammatically, and technically correct;

6) work cooperatively with others to develop written materials;

7) give and receive feedback on writing skills; and

8) use computer technology to enhance and improve the professionalism of written communications.

EDUCATION AND TRAINING

To gain skill in the objectives for this domain, the activities below should be completed. These activities emphasize the importance of strong writing skills and are designed to foster their development.

Preliminary Readings: Trainees should read several key articles that focus on good writing as a critical skill for educational leaders. The readings will familiarize trainees with current research on writing instruction, the four-stage writing process, the types of documents produced in the workplace, and job-specific writing problems. (This exercise reflects performance standards 1, 3, and 4.)

Writing Samples: Trainees should have an opportunity to assess their writing skills and attitudes, and the types of writing problems they encounter at work. A variety of instruments can be used: a self-assessment profile (see Fig. 17-5);

SELF-ASSESSMENT PROFILE

Trainees: This profile will help you analyze your written communication skills. Please respond to each item accurately and honestly using one of the following responses: "strongly agree," "agree," "uncertain," "disagree," or "strongly disagree."

- I set aside a specific time during the day to work on writing tasks.
- I gather the information I need before I begin writing.
- I use prewriting techniques to generate ideas.
- I identify the specific purpose for each document I produce.
- I usually develop a working draft.
- I review my draft for style, purpose, and audience.
- I develop a second draft.
- I proofread to check for common writing errors.
- My writing is sensitive to my audience's problems and concerns.
- I avoid educational jargon.
- My writing presents a professional image.
- I have developed routines to organize incoming paperwork and answer routine correspondence.
- I use a computer to produce my written materials.
- I submit all written reports on time.
- I collaborate with staff on documents.
- I often seek feedback on my documents.

Fig. 17-5

an attitude assessment survey (see Fig. 17-6); and a documents inventory (see Fig. 17-7). An in-basket exercise can also be used. In it, trainees are given information about several situations that require written responses. They are then asked to develop documents most appropriate to the circumstances. (This exercise reflects performance standards 2, 3, 4, 5, and 8.)

ATTITUDE ASSESSMENT SURVEY

Trainees: Below is a series of statements about writing. There are no right or wrong answers to these statements. Please indicate the degree to which each statement applies to you by answering "strongly agree," "agree," "uncertain," "disagree," or "strongly disagree."

- I avoid writing whenever possible.
- I have no fear of my writing being evaluated.
- My mind seems to go blank when I start to write.
- Expressing my ideas through writing seems to be wasting time.
- I would enjoy submitting my writing to magazines for publication.
- I feel confident in my ability to express my ideas in writing.
- I like to have my friends read what I have written.
- I am nervous about writing.
- People seem to enjoy what I write.
- I enjoy writing.
- Discussing my writing with others is an enjoyable experience.
- I don't think I write as well as most people.
- I'm no good at writing.

Fig. 17-6

Effective Models: Trainees should be given samples of well written documents to use as models. (This exercise reflects performance standards 1 and 4.)

Trainee Portfolios: Working in small groups, trainees should follow the four-stage writing process to develop drafts of letters, memos, news releases, newsletters, editorials, reports, and other job-specific documents. Trainees should critique each other's work for adherence to standards and for technical proficiency. Models of effective writing should also be shared and discussed throughout this exercise. (This exercise reflects performance standards 3, 4, 5, 6, 7, and 8.)

Simulations: Trainees should be given various scenarios and asked to role play situations that result in the production of written documents. These scenarios will help trainees identify the types of documents that are most appropriate to certain circumstances. (This exercise reflects performance standards 3, 4, and 8.)

Instructional Strategies: Trainees should be involved in a variety of instructional activities including group discussions and problem solving, collaborations, structured feedback, performance conferences, lectures and demonstrations, cooperative learning, and in-basket exercises. (This exercise reflects performance standards 1, 2, 3, 4, 5, 6, 7, and 8.)

On-the-Job Practice: Trainees should be given the time to practice their new writing skills within the work setting. (This exercise reflects performance standards 3, 4, 5, and 8.)

SAMPLE WORKSHOP FORMAT

The workshop format below is suggested as a way to combine the performance standards and exercises contained in this domain. Its five phases conform to the process model and provide trainees with experiences based on adult learning theory and development.

Content Overview and Preliminary Readings: Trainers assign trainees to read key articles that stress the importance of written expression to school leadership and help establish the workshop's scope. In addition, trainers address the following topic areas: writing problems encountered on the job; links between written expression and other performance domains; the four-stage writing process; current research on writing instruction; and job-specific documents.

Preassessment: Using the instruments outlined in the Writing Samples exercise above, trainers have trainees assess their writing skills and attitudes and the writing problems trainees encounter on the job.

DOCUMENTS INVENTORY

Trainees: Below is a list of written materials that principals are often called on to produce. Read each item and answer "yes" or "no" to indicate which you consistently produce in your work.

- I write a staff newsletter.
- I develop a teacher handbook.
- I develop staff surveys.
- I provide written summaries of school board meetings.
- I prepare agendas for staff meetings.
- I respond in writing to staff concerns.
- I write thank you notes to staff.
- I send get well cards, birthday cards, or special occasion cards.
- I reinforce verbal requests, general directions, and reprimands in writing.
- I write letters of recommendation.
- I document both positive and negative teacher behaviors in writing.
- I write a welcome letter to parents new to the school.
- I develop informational brochures, packets, or pamphlets to highlight school programs.
- I respond in writing to parent concerns or questions.
- I write notes to parents about their children.
- I write a student handbook.
- I write articles for professional journals.
- I write proposals for participation in local and national conferences and to seek funding for school or district projects.
- I write grants.
- I write professional development and school improvement plans.
- I write news releases and stories for the local media.
- I design questionnaires to survey the general public.
- I respond in writing to questions and concerns from the community.

Fig. 7-7

Writing Practice/Postperformance Coaching: Trainers involve trainees in activities that produce job-specific documents. Serving as facilitators, they direct trainees—individually and in small groups—through the writing process. Structured peer feedback is also provided, guided by a checklist that addresses document format and technical proficiency. Effective writing models are shared and discussed.

Job Transfer: Upon completion of the first three phases, trainers give trainees 4 to 6 weeks to practice the writing skills they have acquired. During this time, trainees are required to keep a journal of the writing techniques they use and a portfolio of documents—including all notes, drafts, and revisions—that they produce.

Postanalysis: After a specified period of time, trainers bring trainees together again to readminister the instruments outlined in the Writing Samples exercise above.

Trainees, who have brought their journals and portfolios with them, receive structured feedback from their peers on their writing samples. Trainees then share with one another the techniques and strategies they have incorporated at work to improve their writing skills.

Following the peer review, trainers provide trainees with scenarios of situations that require written responses. These responses are collected and evaluated by the trainers. Trainees also submit two to three writing samples from their portfolios for the trainers to review. After several days or weeks, trainers set up conferences with each trainee to review all of the written materials and to compare the pre- and postassessment data.

MEASUREMENT PROCEDURES

Measurement procedures should assess the trainee's ability to understand and apply the four-stage writing process and to produce effective documents. The following three methods are suggested:

Method 1—Measurement of the Writing Process: This method determines whether or not trainees use effective writing strategies and practices. It can be modeled on the laboratory case study methods employed by many researchers. Typically, researchers observe writers as they write and make note of the writers' behaviors. They then interview the writers about their behaviors and attitudes. Using current research and input from principals who are experienced writers, a list of effective and ineffective behaviors can be developed.

These behaviors can be categorized according to the four stages of the writing process and can also be used to produce a self-assessment profile or structured interview schedule. The profile and schedule help trainees determine the amount of writing they do, the types of documents they produce, and the writing strategies they employ. These instruments enable trainees to demonstrate their understanding of the writing process and their ability to put writing principles into practice.

Trainees can then be observed as they perform a writing task. (Videotapes or audiotapes can be used.) Trained observers note behaviors and/or complete a rating scale based on the list of behaviors previously developed. Upon completion of the task, observers immediately interview the trainees. Using information gathered from the interviews and their observations, observers then complete the rating scale and obtain a final numerical score. This score determines whether trainees have successfully demonstrated the writing process.

Methods 2 and 3—Measurement of the Written Product: A principal's effectiveness in written communication is judged by the documents he or she produces. Accordingly, trainees must also be assessed on their written materials. Document measurement can be made by holistic, primary trait, or analytic methods. It is suggested that holistic evaluation be employed, however, since it is widely used and recommended.

The following items must be considered when putting together a holistic evaluation:

- development of a scoring guide;
- selection and training of a scoring team to ensure reliability among raters;
- development of anchor documents;
- varied selection of real-life tasks;
- amount of time and conditions under which trainees produce documents;
- scoring of documents; and
- feedback to trainees.

A trainee's ability to produce written documents is measured by Methods 2 and 3.

Method 2 presents trainees with a variety of "real-life" (in-basket) tasks. Trainees are asked to produce several documents in a relatively short period of time under supervised conditions. Ideally trainees would have several sessions in which to complete these tasks. Numerical scores are assigned to each document.

Method 3 requires trainees to produce a portfolio containing a variety of documents that have been produced on the job over a given period of time (e.g., 6 weeks). The portfolio is submitted and evaluated. This method is advantageous to trainees because it enables them to practice their writing skills reflectively and to understand better the importance of effective written communications.

The successful measurement of written expression is dependent upon the training of observers (used in Method 1) and evaluators (used in Methods 2 and 3) and the assurance that they can make accurate ratings.

One final note: Computer programs are now available that quickly and accurately analyze written material for approximate reading level. They also perform helpful punctuation and grammar checks. Among these programs are *Grammatik,* published by Reference Software International, and *WriteWriter,* published by Que Software. Both are available in DOS and Macintosh versions.

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IV. CONTEXTUAL DOMAINS

These domains reflect the world of ideas and forces within which the school operates. They explore the intellectual, ethical, cultural, economic, political, and governmental influences on schools, including traditional and emerging perspectives.

PHILOSOPHICAL AND CULTURAL VALUES

DOMAIN 18

DEVELOPMENT TEAM

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PHILOSOPHICAL AND CULTURAL VALUES

DEFINITION

Philosophical and Cultural Values: Acting with a reasoned understanding of the role of education in a democratic society and in accordance with accepted ethical standards; recognizing philosophical influences in education; reflecting an understanding of American culture, including current social and economic issues related to education.

To define philosophical and cultural values is to express certain values held by those formulating the definition. The authors approached this problem of self-reference by initiating a process of reflection and self-criticism to focus attention on the behaviors and attitudes important to demonstrating competence as a principal in this domain. Through the reflective process, "self" became viewed as the profession of educational administration as well as of individual perspective.

John Dewey's (1925, 1981) definition of philosophy was particularly helpful during this process of repositioning attitude:

> Philosophy is inherently criticism, having its distinctive position among various modes of criticism in its generality, a criticism of criticisms, as it were. Criticism is discriminating judgement, careful appraisal, and judgement is appropriately termed criticism wherever the subject-matter of discrimination concerns goods or values. (p. 298)

Dewey's definition connects philosophy and cultural values to criticism and opens the door to self-criticism through the notion of "criticism of criticisms." Criticism—he clarifies and concludes —is "a consideration of the most far-reaching question of all criticism: the relationship between existence and value, or as the problem is often put, between the real and ideal" (p. 310).

Cultural values are perhaps best understood as ideals; that is, opinions held by different parties about what reality should exist or ought to be like. The relationship between existence (the real) and value (the ideal) is a dialectical one, and principals often are caught up in the tensions, paradoxes, and ironies that accompany dialectical problem spaces.

The dialectic of freedom is the dominant dialectic of democracy in America, and in one way or another it defines most of the tensions found in democratic education. The source of these tensions is easy to identify. Just as the species must reproduce itself biologically to continue its existence, so, too, must cultural values be reproduced through education to continue to exist. In practice, this means that public schools are the place in a pluralistic democracy such as ours where diverse cultural values come into conflict and where educational administrators are caught in the crossfire. General examples of dialectical tensions include the needs of the individual versus those of society, the desires of special interest groups versus the needs of society, and, more abstractly, the relationship between the actual and the possible. More specific examples would include individuals' needs for self-realization and to be treated as ends in themselves versus the needs of business and industry for competent workers to increase productivity and competitiveness; the rights of groups like Spanish-speaking immigrants or Amish versus the need to build a democratic political consensus; and the relationship between the current state of American schooling and the possibility of meaningful improvement.

Greene described some of the most important ingredients of the freedom dialectic in her book, *The Dialectic of Freedom* (1988). First and foremost, she cited the need to avoid identifying actual states of affairs with what is necessary, true, and right. Realists, she wrote, run the risk of becoming dogmatists; they sometimes fail to recognize that social reality is a social construction, an expression of collective cultural values that are subject to reconstruction according to another set of cultural values. In a pluralistic, democratic educational system, conflict over which set of cultural values should shape education is inevitable. Since compromise also is inevitable, few individuals are likely to be fully satisfied with the form that public education takes at any given time. The history of American education proves that these tensions and conflicts are constants and that this is not an unhealthy state of affairs.

To escape dogmatism, one must sever unreflective, uncritical commitments to the "reality" of everyday practical concerns and involvements, and instead imagine alternatives to the status quo. Imagination alone will not lead to enhanced freedom, however, only to the illusion of being free. True freedom requires that one passionately desire freedom and act to reconstruct reality to draw closer to some ideal of how things ought to be. (Principals, by virtue of their position, are the frequent recipients of these desires.) Nevertheless, one must do more than express passion: One must "share with others a project of change" if the existing social construction is to be revised (Greene, 1988, p. 9). This provides a community with those who have the same ideas and feelings. Special interest groups are born of these communities and lobby for various social goals.

In the beginning of her book, Greene notes that, "Talk of the free world today is intertwined with talk of economic competitiveness, technology, and power" (p. 1). A few pages later, she adds that in talk of educational reform, "The dominant watchwords remain 'effectiveness,' 'proficiency,' 'efficiency,' and ill-defined, one-dimensional 'excellence.' Reform or no, teachers are asked to teach to the end of 'economical competitiveness' for the nation" (p. 12).

It is in this context that the original description of philosophical and cultural values developed for this domain is questioned. It is proposed that effective school leadership requires reflection on the value of education's perpetuating the cultural norms expressed by Greene—or any other person or group. Continued reflection and/or redefinition of philosophical and cultural values are essential components of the school principal's job.

The report of the National Commission for the Principalship, *Principals for Our Changing Schools: Preparation and Certification* (1990), describes educational change primarily in terms of international economic competitiveness and new technologies. In the section titled "The Context of School Leadership," only three topics are discussed: 1) the globalization of American business and the internationalization of telecommunication;, 2) demographic changes that refer to human diversity; and 3) technology. The section concludes:

> Other dimensions of the changing environment affect schools as well. New methodologies appear as relentless as new technologies: new concepts of organization, of management, of work, of evaluation, and of productivity. At times it appears that rapid change is king, and all of us his subjects. (p. 7)

In Greene's terms, these other dimensions "talk of economic competitiveness, technology, and power" and imply "'effectiveness,' 'proficiency,' 'efficiency,' and. . . excellence." They are important philosophical and cultural values, but they are not the only ones. Goodlad (1984) found that of four educational goals—vocational, social, intellectual, and personal—secondary teachers and teachers and parents of elementary and middle school children chose vocational goals last in order of priority; parents of high school students chose them third, after intellectual and personal goals. These findings strongly suggest that teachers and parents have different cultural views from the National Commission for the Principalship.

Schooling is a social construction that reflects the cultural values of all school constituents. While some people feel that American schools should prepare the nation and its citizenry to compete in a world economy, others—often the disadvantaged—feel that schools should prepare students to reconstruct the existing social order. This domain does not propose to arbitrate such a profound dialect, especially given the unfortunate consequences of any failure to compete economically in the world. However, it does propose that principals be aware of such dialectic tensions and be cognizant and critical of their own values and ideals. A multiperspective approach is required.

The writers' solution to the tensions raised by the dialectic of freedom in American education and the need to be aware and critical of our own philosophical beliefs and cultural values has been to provide a pluralistic and multiperspectival approach to the domain. The values in American society and public schooling were determined by reviewing current literature and news media and by asking principals and other school administrators to analyze the requests that crossed their desks daily for value implications. These values were then stated as value continua. The purpose of this exercise was to provide examples of value conflicts in society, not to compose an exhaustive list. This procedure leaves the values open for additions as changes in society occur and social, economic, and political conditions warrant. It is well known that the values of people in different localities and at different times differ considerably; thus, a single set of value imperatives is an unrealistic goal for this project. Different and often incompatible philosophical perspectives for critiquing the identified values were then developed. Some of these lend considerable support to the values and ideals identified by school principals; others appear to reject them entirely. The authors believe that the competent practitioner must be aware of at least these five philosophical perspectives and use them in formulating and critiquing their own educational philosophy. Educators must be careful that in defining our own reality we do not think we are defining everyone else's.

THE PROCESS MODEL

America is a country rich in diversity. Its people differ in terms of race, ethnic origin, gender, age, ability, language, educational level, economic status, religious beliefs, political persuasion, and sexual orientation (Hodgkinson, 1985). In a democracy, diversity leads to the formation of multiple interest groups, each with its own values and agenda for society's institutions. No institution is as acutely influenced by these values and agendas as schools.

Educators, especially principals, often are caught in the crossfire of value conflicts among interest groups because they are the ones who must respond to the varying requests and demands that groups make. Responding to these groups is not easy, for often people are unaware of their values and the reasons for disagreements, antagonisms, and animosities. This domain attempts to instruct principals on how to review their own values critically as well as the values of others in the school community to strengthen the quality of their understanding and response.

The proposed model has several underlying assumptions that reflect the writers' values. They are made explicit so that the reader can critically assess this perspective.

1) No identifiable value imperatives hold for all circumstances. Values differ in kind and intensity, and it is best to describe them as existing as continuums. (See Fig. 18-1.) Any individual may reside anywhere along this continuum and may move in either direction depending on the conditions of a given situation. In some cases a person may champion the status quo, whereas in others, he or she may champion a moderate amount of change. The conditions must be known to understand one's position on the continuum. This approach is consistent with current contingency theory in the field of educational administration.

2) Values expressed as requests and demands on schools have underlying philosophical assumptions. These assumptions generally are coherent and can be identified as philosophy. In this domain, they are called philosophical perspectives. Understanding these perspectives helps principals make sense of the myriad requests and demands placed on them and their

VALUES CONTINUUM

Change. . . . . Status Quo

FIG. 18-1

schools, as well as their responses to these entreaties.

3) Effective principals are able to critically deconstruct (determine the underlying philosophical assumptions) the value positions of themselves and others. Such principals analyze situations from multiple philosophical perspectives, derive meaning from this analysis, and fashion ethically sound decisions.

4) A pragmatic approach is necessary because of the variation in values and perspectives. This approach focuses the principal's attention on a process for analyzing and dealing with values that influence the school and the lives of students, teachers, parents, and the principal.

5) Ethical behavior is considered an outcome of the critical analysis of the values involved in decision opportunities. Therefore, it is an integral part of the model.

6) The history of education is the history of value decisions.

7) Other assumptions could have been accepted here by the writing team. For example, the focus could have been placed on analyzing the historical significance and precedence of the values found in education; a more cultural perspective also could have been taken. Life is a matter of choices, and these choices are based on the values and underlying philosophical perspectives of the choosers. Thus, the authors' values shaped perceptions of the most useful approach to developing this domain.

The proposed model has three components—philosophical perspectives, values, and analyses—and is displayed as a matrix in Fig. 18-2. The model is designed to provide principals with a structure for analyzing values through the lenses of five philosophical perspectives: integral liberalism, critical theory, poststructuralism, pragmatism, and feminism. These perspectives were selected because educational philosophers currently use them to make sense of the phenomena experienced in today's schools. The essence of one, integral liberalism, has been abstracted from the literature and is described on pages 18-22 through 18-28. Space limitations prohibit publication of all five perspectives here, but they are available as a supplement from the National Policy Board for Educational Administration (4400 University Dr., Fairfax, VA, 22030-4444). These descriptions have been reviewed for essential content by philosophers, school administrators, and education faculty.

Across the top of the matrix are the five philosophical perspectives identified above. The column at the far right, marked "Own," provides principals with the opportunity to analyze their personal values. These may be a combination of perspectives, a perspective consistent with one of the five mentioned above, or an entirely different perspective not indicated in the model.

Down the left are the values commonly found in schools and society. The cells of the matrix can be filled with the analyses of values from the relevant perspectives. (Sample analyses of five values—equality, freedom of choice, accountability, tolerance, and care—appear later in this domain.)

Only a sample of values is in-

MODEL FOR ANALYZING CULTURAL VALUES IN SOCIETY AND EDUCATION (SAMPLES ONLY)

Values/Ideals Controversies	Integral Liberalism	Critical Theory	Poststructuralism	Pragmatism	Feminism(s)	Own
Equality						
Freedom of choice						
Accountability						
Tolerance						
Care						

Defining the "Philosophical and Cultural Values," Garrison, Parks, Connelly

Fig. 18-2

SALIENT VALUES

1) uniformity	diversity
2) equity	disparity
3) democracy	totalitarianism
4) bureaucracy	technocracy
5) capitalism	socialism/communalism
6) anarchy (chaos)	order
7) nationalism	globalism
8) deism	atheism
9) industrial	agrarian
10) freedom	control
11) selfishness	altruism
12) process	product
13) centralization	decentralization
14) power	powerlessness
15) segmentation	integrated
16) poverty	wealth
17) collaboration	competition
18) change	stability
19) self-control	external control
20) knowledge	ignorance
21) elitism	egalitarianism
22) segregation	desegregation
23) adequacy	inadequacy
24) public domain	private domain
25) leadership	followership
26) professionals	technicians
27) professional autonomy	professional obligation
28) freedom	constraint
29) collectivism	individuality
30) construction	destruction

Fig. 18-3

cluded in the model. A more extensive list is presented in Fig. 18-3. These values were compiled by the process described above and by tapping the experiences of 35 public school educators from Virginia. These educators were asked to identify the requests and demands made on them to determine as best they could the reasons for these requests and demands, and to describe how and why they responded to them. The data from the 35 subjects were analyzed for their value content. The writing team then cited and culled the outcomes to 30 pairs of salient values for educators today. Professors and trainees may add to the list, should they feel a need.

The process model is purposefully open-ended to remind users that there are other values and philosophical perspectives, including religious perspectives, that also may be considered. It is the principal's job to be aware of their variety and to consider their affect as a wide spectrum of values converge upon schools. In addition, this domain assumes that the curriculum for prospective principals is itself open-ended; it is continually expanding and requires that principals be willing to adapt and interact with rapidly changing social conditions.

EXAMPLES

The following examples provide a brief summary of the five philosophical perspectives and values indicated in Fig. 18-2. Taken together, they illustrate how educators, principals, and prospective principals may use these perspectives to reach informed positions on values currently found in schools. Each analysis (except for the analyst's own analysis) is based on values within the separate philosophical perspectives and not on values held by the individual conducting the analysis. All five values (or ideals) involve the dialectic of freedom in a pluralistic democracy. The last two values were deliberately chosen because they are not readily informed by most of the perspectives provided.

INTEGRAL LIBERALISM

Equality: Equality is an inalienable and natural right. "Conservative" integral liberals feel that the social contract (e.g., the Constitution) and other laws are sufficient to secure social equality. More "liberal" integral liberals tend to use social planning to intervene in the social process for social equality and to redeem the natural right of equality from unnatural social alienation. But both believe in essential human goodness, governed by rational thought. With the new wave of immigrants who resist

"Americanization," integral liberals see equality as a movement toward a more pluralistic curriculum; "conservatives," however, are more likely to favor a core curriculum for all.

Freedom of Choice: To integral liberalists, freedom of choice is a natural right held by the autonomous individual. Intelligent choice is based on abstract natural rationality. Both are available to all people. Conservative integral liberals tend to support a tax voucher system that enables parents to choose their child's school. These schools, presumably, would be consistent with their beliefs and values. More liberal integral liberals, by contrast, tend to put less emphasis on individual rational autonomy and more on collective rationality, social planning, and the use of laws to secure social control and execute social planning to achieve social goals. They are more likely to emphasize the social contract and might view vouchers as providing freedom of choice (and equality) only to those few socially privileged individuals who had the wealth and education to take advantage of them. Both kinds of liberals would tend to favor Horace Mann's idea of the common school teaching common American values; conservatives, however, would be inclined to support individual choice of schools. Obviously, the particular form vouchers take could alter and vary these two positions.

Accountability: The integral liberal view holds that individuals can be held accountable and morally responsible. They act in a world that can be subjected to objective, value-neutral assessment because it is an objectively real and concrete social world. Individuals are autonomous rational agents capable of making decisions for which they may be held accountable. In educational administration, this has meant some form of functionalism, with individual accounting based on exact, quantitative measurements.

Tolerance: The integral liberal view of tolerance is clearly expressed in documents like the U.S. Constitution. Integral liberalism assumes that individuals have an inherent, inalienable, and natural right to believe whatever they want without interference from others, especially the government. The government has a right to intercede only when individuals act on beliefs that abridge the rights of others, including the right to believe according to conscience. Ironically, integral liberals are tolerant of all beliefs except intolerance; their tolerance appears to be derived from deeply felt notions of natural rights and rationality.

Care: The integral liberal's belief in autonomous rationality and the transcendental rule of law causes him or her to shy away from talk about personal relations, compassion, concern, and connectedness. These sentiments are not unimportant to integral liberals, but they are not as valued as talk of objectivity, autonomy, and rationality.

CRITICAL THEORY

Equality: Critical theorists believe equality is created collectively and constructed socially rather than endowed naturally. They think critical reflection discloses that supposedly value-neutral standards of merit may discourage social mobility and maintain the present inequitable social order by treating a "social gift as a natural one" (Bourdieu, 1974). The social gifts Bourdieu refers to are cultural capital and ethos provided to the privileged classes. Critical theorists claim that the existing social order in American schools is maintained through tracking. They would argue that although tracking appears to consider natural aptitude (e.g., intelligence test scores), aptitude measures—and therefore schooling—are biased in favor of society's higher social classes. As a result, schooling perpetuates the social order.

Freedom of Choice: Freedom, to the critical theorist, is a social achievement rather than a natural endowment. Freedom requires that individuals achieve the third level of cognitive interest (i.e., the emancipatory interest). At this level, individuals are free of the controlling power and "false consciousness" of ideology and recognize their true interests. This leads them beyond possibly false choices (to use or not use vouchers) to the construction of new choices and the transformation of public schools to meet their children's needs. (It should be noted that systematically distorted communication deprives individuals of real choice by concealing their true interests. This distortion may be disclosed by embracing the value of the ideal speech situation.)

Accountability: Critical theorists reject functionalist (rational, objective) accountability because they believe it is unable to deal with human intentions and the complexities of social context. In addition, they believe accountability establishes a systematically distorted conversation in which an administrator's vocabulary (e.g., productivity, efficiency, and accountability) triumphs over that of the professionals beneath him or her (e.g., teachers) with its concepts of care, concern, feeling, imagination, and wonder. Critical theorists are concerned that administrators might use their power of accountability to enhance and preserve their own power rather than to empower others in schools.

Tolerance: Unlike integral liberals, critical theorists are inclined to view tolerance as a social construction. Critical theorists do retain the integral liberal value of a transcendental order of truth in the notion of an ideal speech situation. Critical theorists maintain that in the ideal speech situation, all forms of discourse are to be tolerated except those that seek exclusiveness or dominance.

Care: The transcendental ideal speech situation suffers many of the same shortcomings for both the critical theorist and the integral liberalist. Nonetheless, the emphasis on communicative understanding, shared practice, and context appear to open up more possibilities for discussion of compassion, care, and connection. Paradoxically, the discourse of critical theory is dominated by a vocabulary that makes it difficult to carry on a dialogue about caring.

POSTSTRUCTUALISM (POSTMODERNISM)

Equality: To poststructuralists, there are no eternal context-independent truths or "universal values." Equality, like other ideals (e.g., free choice), is a context-dependent social construction shaped by social and economic and political power systems. Foucault (1979) states that the introduction of individual differences and norm-referenced testing redefined the ideal of equality almost without anyone noticing. Equality of opportunity remains, but the actual realization of opportunity is distributed according to one's place in a normal distribution. Equality remains guaranteed by law, but norms, laws, and their interpretation are constructed by a technology of power and those who possess it. Like free choice, equality can be obtained, but only in part, by eliminating the social, economic, and political forces that deny the ideals for which we strive. The exercise of federal power to integrate schools receives no sanction outside that of human affairs. It simply reflects the victory of one system of values over another. Derrida (1972, 1981, 1982) views the Enlightenment ideal of inalienable rights and the notion of norm-based testing as words referring to things or ideas that transcend ordinary human experiences, referencing instances of what Derrida calls the signified transcendental. They are human constructions and, therefore, open to deconstruction. Where does the norm come from, and to what does it refer?

Freedom of Choice: Free choice is understood by Foucault (1980) and deconstructed by Derrida (1972, 1981, 1982) in much the same way as equality: No one is free from some disciplinary technology. The hope is that we can identify the webs of power and knowledge that determine our range of imagined choices, critique them, and deconstruct them if necessary. We cannot be free from constraint, but we can perhaps be free to determine what constrains us from having the kind of schools we want.

Accountability: Accountability is viewed by poststructuralists as the disciplinary technology of modern technocratic, functionalist management, which features hierarchical observation, normalized judgment, and examination. Schools are viewed as panopticans (Foucault, 1979) in which administrators use the tools of accountability to maintain discipline, control, and power. The second wave of educational reform in administration may be challenging this model of accountability. Technocratic models of administration make much of formal problem-solving strategies of management and accountability that may be deconstructed and replaced by democratic dialogue grounded in commitment.

Tolerance: Poststructuralism rejects the existence of any unconditional acceptance of transcendental values, including tolerance. As a social value, tolerance is a purely context-dependent social construction. It is a practice shaped by the unequal distribution of social power. Foucault's (1980) theory of power and knowledge may be deconstructed by the observation that tolerance cannot be readily included in his system. Why? Because if social relations are indeed a "war of all against all," then tolerance can only be detrimental to all of the parties in the society.

Care: Power and knowledge talk does not leave much room for talk about care and compassion, except as a secondary, more subtle, and perhaps superior method of exerting power. Foucault's (1980) later work on human sexuality includes carnal knowledge in the power/knowledge web, but like integral liberalism and critical theory, it leaves only a little space for self-transcending feelings and actions.

PRAGMATISM

Equality: The pragmatist could agree with Charles Eliot that there "is no such thing among us as equality of natural gifts, of capacity for training, or of intellectual power" (Eliot, 1908, p. 13). But he would not view equality as an opportunity to pass through a norm-referenced educational tracking system that sorts according to probable destiny in a preplanned and hyperrationalized social order that uses children as means to the predetermined ends of business, industry, and government. To the pragmatist, equality means equal opportunity for all to develop their intelligence, determine their life's goals, and participate in democratic community dialogue to determine the social goals of schooling. That ultimate pragmatist Dewey (1916) believed that for all social institutions, including schools, the test of their value was the extent to which they educate individuals to reach their potential. All individuals have an equal right to an education that frees their intelligence.

Freedom of Choice: The pragmatist believes that free choice depends on schooling that enables individuals to reach their full potential. Anything less limits the scope of choice and results in false choice because genuine alternatives have been concealed. A freed intelligence can criticize reality on the basis of knowledge about desirable alternative possibilities. This is the dialectic of freedom. As a consequence of this critique, a freed intelligence can, if it chooses, reconstruct the existing social order to actualize possibilities it believes should exist. Ultimately, this means the ability to participate in a democratic dialogue with others.

Accountability: For the pragmatist, accountability is more formative than summative; relies less on evaluation instruments than on face-to-face understanding; and, rather than holding the individual to predetermined "objective" standards, holds the individual to the standards of the democratic community that the agent was able to participate in when the standards were originally formulated. Pragmatists believe that standards of accountability are always open to reconstruction through continued discourse about the changing needs of the community.

Tolerance: Although tolerance is also a completely contingent social construction, it is undeniably important to Dewey's (1916) ideal of democracy as "associated living, of conjoined communicated experience" (p. 87). Dewey and other pragmatists would value tolerance in much the same way as integral liberals and critical theorists would; however, since it cannot rely on any kind of foundationalism, transcendental or otherwise, they would look for tolerance in a different place than natural rights and reason. Tolerance would be seen as contributing to the dialogue in which logic and other values find their fulfillment.

Care: Care, concern, and connectedness are probably more important to the pragmatist than to any of the preceding perspectives if for no other reason than such values are needed by the communities to function well. Pragmatism, like all the other philosophies that are discussed, is so filled with willful self-assertion that it leaves relatively little room for such self-eclipsing and self-transcending notions as care, concern, and connectedness.

FEMINISM

Equality: Equality, like gender roles, is a social construction rather than a natural, inalienable right, according to the feminist. The rules of equality are constructed by the powerful—traditionally white men in Western society—to protect their special interests. Neither gender is fully aware of the systematic distortion because both tend to assume that the resulting social state of affairs is the consequence of "natural" differences. Feminists believe that in educational administration, the standards of equal opportunity to enter the profession have tended to label women as "deviants" and exclude them from participation. Equality, they propose, is the right of all to participate in the conversation.

Free Choice: Feminists believe that freedom of choice always occurs in a concrete context, some community, or some defining situation to which we are personally committed—such as schools. Freedom of choice means naming new alternatives in order to avoid false choices by being limited to the alternatives named by others. We cannot be free without the constraints of commitment, but we can choose our commitments, feminists believe. Choice always involves considering one's own self-interests as well as the interests of others in complex webs of relationships. Rational choice resides in community dialogue in which the interests of all may at least be heard and considered.

Accountability: Feminists think that the separation of educational administration and teaching establishes a systematically distorted conversation in which the self-transcending values of many women (e.g., care, concern, connection, and commitment) are devalued, silenced, and unrewarded. (See the section on accountability under Critical Theory above.) Feminists also believe that accountability in education establishes a technology of power that places men in a position of dominance, or as O'Reilly and Borman (1984, p. 110) put it, "men rule women and women rule children." Feminists tend to view the role of accountability as formative and pedagogical rather than summative and part of a system of reward and punishment.

Tolerance: Feminists see tolerance as a requirement for establishing solidarity, relationships, and commitment within a socially constructed community rather than as an inalienable, natural right of autonomous individuals. Tolerance is a prerequisite for allowing maximum participation in a conversation that can break unnatural silences. Tolerance helps us to live with the dynamic tensions of Regan's "double helix" (1990, p. 565).

Care: Feminists highly value the self-eclipsing emotions like care, concern, and compassion in personal relationships as much or more than self-assertion, detached objectivity, and "rationality." Care, or the lack of it, is at the core of feminist criticism of scientific rationality and educational administration. Many feminists feel that the field of educational administration, as well as people's lives, could be healed and made whole by reattaching the values of a caring profession like teaching to educational administration.

PERFORMANCE STANDARDS

Upon completing this domain, principals should be able to:

1) demonstrate critical self-awareness;

2) demonstrate discriminating judgment;

3) demonstrate appraisal of their own values and the values of others;

4) demonstrate knowledge of the dialectic of freedom in American education;

5) identify and appreciate the tensions underlying value conflicts in American education;

6) distinguish ought from is, reality and actuality from necessity;

7) identify the diversity of values present in a complex, heterogeneous, and pluralistic democracy;

8) identify the diversity of values in a global society;

9) demonstrate knowledge of the various (at least five) philosophical perspectives;

10) apply the knowledge of the philosophical perspectives in analyzing the values in our democracy and global society;

11) know the standard criticisms of each philosophical perspective; and

12) understand that reality is socially constructed.

EDUCATION AND TRAINING

A process approach is recommended for the study of cultural and philosophical values in society. No attempt should be made to teach one perspective over another, or to prefer one value or one set of values; all perspectives and values must be considered as equals for analytical purposes. The approach is designed to permit the principal to go through an analytical process to reach an informed position on those values that come through the schoolhouse door. It is based on the following assumptions:

1) All values of all people who make demands on the schools cannot be identified a priori; therefore, educators must be open to new and often surprising requests emanating from a rapidly diversifying society.

2) All philosophical, analytical perspectives cannot be

learned in a preparation program. Educators must continue to study society and philosophy to keep in touch with emerging values and perspectives for analyzing them.

3) The instructional program described here must be considered the beginning of learning in this field. The complexity of the values and the perspectives requires continuous effort to be conversant with both the values and the perspectives. Inservice and continuing education are imperative for recertification.

INSTRUCTIONAL OBJECTIVES

The following outcome objectives for the five perspectives will be useful only to institutions selecting those perspectives for their programs. For certification, the general performance standards described above are appropriate.

Integral Liberalism: Trainees should understand:

- the seven enabling beliefs and such values of integral liberalism as autonomy, freedom and equality, inalienable rights, essential rationality and goodness, the idea of a social contract, and a transcendental order of truth;
- the tenets of functionalist administrative theory and the ideas of those who have critiqued it; and
- the basic ideas of positivism and postpositivism.

Critical Theory: Trainees should understand:

- the three levels of cognitive interests: technical, practical, and emancipatory;
- the definition of a systematically distorted conversation and an Ideal Speech Situation (ISS);
- John Searle's (1969) argument that institutional facts are social constructions;
- the ideas of ideology and ideological critique;
- why technology is not value-neutral; and
- Pierre Bourdieu's (1974) idea of "cultural capital."

Poststructuralism: Trainees should understand:

- the concepts of "discourse-practices" and "power/knowledge" and the relations between them;
- the elements of Foucault's disciplinary technology and how they apply to American education;
- the tenets of structuralism;
- the idea of deconstruction;
- an organized anarchy and the structural limits of rational and bounded rationality models of organizational management;
- Newell and Simon's (1972) rational problem-solving model and its limitations; and
- logic and rational management as dialogue.

Pragmatism: Trainees should understand:

- the five interrelated themes of the pragmatic ethos identified by Bernstein (1989);
- reconstruction and how it is related to (structuralistic) construction and (poststructuralist) deconstruction;
- the difference between critical pragmatism and vulgar pragmatism;
- the possible parallel between the Snedden (1931) and Prosser (1912) versus Dewey debate and current educational reform;
- Dewey's idea of "freeing intelligence"; and
- Dewey's definition of democracy.

Feminism: Trainees should understand:

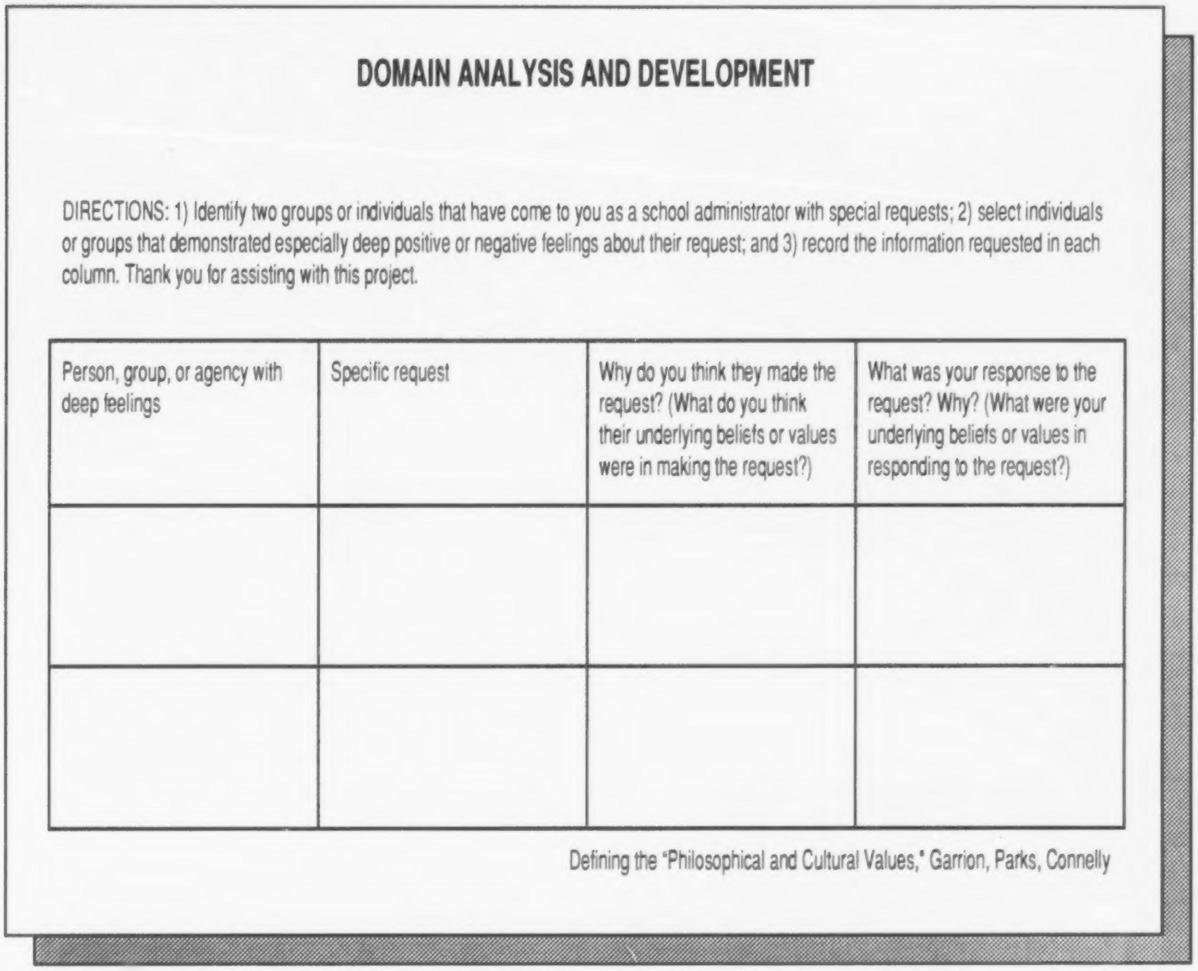
- the percentages of men and women in educational administration;
- the ideas of "dynamic objectivity" and "dynamic autonomy";
- Catherine Marshall's (1986) theory of "deviancy" and "cultural exclusion" in educational administration;
- the importance of "naming" to the dialectic of freedom in educational administration;
- Ortiz and Marshall's (1989) four themes in the development of educational administration;
- how both men and women and the profession of educational administration may be alienated and deprived of wholeness and wellness by cultural exclusion;
- John Dewey's and Jane Roland Martin's (1986) idea of "being thoughtful";
- the idea of "collaborative strategies" in feminist pedagogy and its ability to rejoin the values of teaching in educational administration; and
- the concepts behind Martin's (1986) three Cs.

MEASUREMENT PROCEDURES

The following list of exercises is suggested to teach and assess competency in the cultural and philosophical values domain. Trainees should be asked to:

- demonstrate knowledge of the five philosophical perspectives by analyzing three values from each perspective (see Fig. 18-2 for a possible format);
- demonstrate knowledge of the myriad values within society and schools by identifying the value positions held by individuals and groups making demands on school professionals (see Fig. 18-4 for a possible format); and
- demonstrate a personal philosophical position on values within society and schools by responding to three simulated requests (e.g., a principal-parent conference, a mock school board meeting, a PTA meeting, a town or county meeting, or a student govern-

ment meeting) by school patrons for changes in school programs or operations. Each response must state the disposition of the request and must contain an analysis of the educator's philosophical basis for the action taken.



DOMAIN ANALYSIS AND DEVELOPMENT

DIRECTIONS: 1) Identify two groups or individuals that have come to you as a school administrator with special requests; 2) select individuals or groups that demonstrated especially deep positive or negative feelings about their request; and 3) record the information requested in each column. Thank you for assisting with this project.

Person, group, or agency with deep feelings	Specific request	Why do you think they made the request? (What do you think their underlying beliefs or values were in making the request?)	What was your response to the request? Why? (What were your underlying beliefs or values in responding to the request?)

Defining the "Philosophical and Cultural Values," Garrion, Parks, Connelly

Fig. 18-4

APPENDIX

The authors developed, as an appendix to this domain, comprehensive descriptions of the five philosophies presented here. Space limitations prohibit the publication of the complete material in this book. However, the elaboration of one philosophy, Integral Liberalism, is included here as an illustration of the authors' work. Descriptions of all five philosophies are available from the National Policy Board at no cost, or from the development team.

INTEGRAL LIBERALISM

This philosophical perspective is historically the oldest, most deeply entrenched, and influential within the Western democratic tradition. It is the perspective that most of us were educated in, and for many of us, it is a philosophy that seems beyond any fundamental criticism. It is the philosophy of Enlightenment modernity, or what John Hallowell calls "integral liberalism." Following Hallowell (1965), the enabling beliefs and values of integral liberalism may be summed up as follows:

1) a belief in the essential autonomy of the individual will and personality;

2) a belief in the absolute value of individual (social, political, economic, intellectual, and religious) freedom and equality;

3) a belief in the existence of inalienable natural rights peculiar to individuals in virtue of their humanity;

4) a belief in the essential rationality and goodness of the individual;

5) a belief that the state and its institutions come into existence as a consequence of a social contract drawn between the individual and the state, and solely for the rational purpose of preserving and protecting individual natural rights. And further, if unalienable rights are violated, the contract is broken and a new government must be constituted;

6) a belief that social control is best secured by law; and

7) a belief in the existence of a transcendental order of truth that is accessible to man's natural reason and capable of evolving a moral response. Further, this order is the source of the abstract formal natural laws of both physical nature and human nature (pp. 110–111).

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The philosophy of integral liberalism originated in the thought of Grotius, Hobbes, Locke, Newton, Jefferson, Madison, Voltaire, and the French *Encyclopaediasts*. Integral liberalism guided both the American and French revolution against the tyranny of monarchy. It is a collection of beliefs and values that united Jeffersonians with Jacksonians and now unites Democrats with Republicans. Their differences are a matter of degree of implementation and how best to achieve shared ideals.

The seven components of integral liberalism delineate the dominant philosophical and cultural values of our nation. Indeed, so pervasive are the norms of integral liberalism that at first they appear beyond critique; but of course, critique is implied by the very openness of those beliefs and values.

As educational leaders, we are primarily concerned with how these philosophical beliefs and values play themselves out in American schools. We will begin on familiar ground by discussing the dominant and best known paradigm of educational administration.

In *Paradigms and Promises* (1986), William Foster sketches four major paradigms that "account for most of the research done in social theory, organizational studies, and educational administration" (p. 55). Actually, one paradigm alone accounts for most of the research in educational administration; that paradigm is "functionalism." According to Foster, "The functionalist paradigm embraces the assumptions that the social world is objective, real, and concrete; that scientists standing, as it were, outside of this world can record and accumulate facts about it . . . . Functionalism does not challenge the social order; rather, it assumes that things are right as they are: the scientist merely has to find the underlying regularities that guide social structures. Most of the research done in educational administration and organizational theory can be labeled functionalist in character. It is particularly acritical in nature . . . " (pp. 55–56). Functionalism is "objectivist"; that is, it assumes social structures that are largely necessary, fixed, and final. Functionalist social structures exist "out there"; they define a transcendental social order that is discovered rather than constructed.

Foster concludes that "the researcher within this frame tends to be positivistic, objectivistic, and supposedly neutral. . . .Science, not philosphy, governs in the hope that a critical mass of empirical studies will eventually result in the accumulation of a verified . . . body of knowledge that will rationalize practice: 'When theory is based on systems that are logical, rational, explicit, and

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quantitative, practice will be similarly rational'. . . The prevalent assumption is that current practice is clouded by values and is simply more or less nonrational" (pp. 59–60). A *positivistic* viewpoint assumes that there is a transcendental realm of hard empirical facts entirely independent of the theories and laws that explain them. Likewise, positivism assumes that individual and cultural values and interests are entirely independent of facts. Said differently, positivism assumes that science is *value–neutral* and, therefore, unaffected by social, political, or personal values and passions. *Objectivism,* as we have already indicated, assumes that the social order is largely like the natural order; that is, it is a transcendental realm of fixed truth and reality, the source of explanatory natural law accessible to human *reason* expressing itself in the form of natural science. In extreme cases only, that can be measured and expressed mathematically; it is taken exclusively as real; the emotions and other qualitative phenomena are at best taken as epiphenomena dependent on more fundamental quantitative phenomena. Clearly, the functionalist paradigm of rational educational administration and administrative research is an expression of tenet seven of integral liberalism. Further, insofar as the functionalist paradigm is taken to have practical application in establishing social control within the institution of schooling, it also expresses tenet six. Finally, since tenets six and seven are the principles of integral liberalism with the most important practical implications for the social and moral control of public institutions, and given that integral liberalism is the most influential philosophy in the Western world, it is safe to say that teachers, students, parents, and school boards will all tend to expect educational administrators to manage their schools in accordance with these two principles as well as all the rest of the philosophical and cultural values of integral liberalism, *as they understand them.*

Foster (1986) found that the ideals of functionalism guided the attempt "to put educational administration on a [sound] footing . . . by developing theoretical constructs that could be tested in the world of organizations. The grand theory, however, was never found . . . The very idea of developing a continuum between natural scientific theory and social science theory has proven false" (p. 53). The failure of grand theory in educational leadership informs the decision to proceed more inductively in developing these performance domains of the principalship. The failure to establish fixed theoretical laws in the social domain undermines confidence in the positivistic and objectivistic assumptions of functionalist theory, research, and administrative practice. The failure of functionalism also threatens to disconnect the social domain from the fixed essences, natural necessity, and abstract formal laws assumed to hold for the natural domain. Loss of confidence in the existence of a

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transcendental order of truth means that traditional functionalist images of science may no longer be capable of evoking a moral response. One result of this crisis of confidence is that it raises the possibility that the "reality" of the social domain, schools, and their organization is largely, if not entirely, a social construction. If so, then human emotions and intentions, the qualitative aspects of humanity, may need to be taken more into consideration than those quantitative aspects that admit of direct measurement and with which educational theory and research, if not practice, have been primarily concerned. And although it will not be too important for our purposes now, it is interesting to note that the other four philosophical perspectives described in this domain restore continuity between the social and natural sciences by insisting more or less that *both* are social constructions.

In any case, some would say, not only has functionalism failed to find fixed essences, natural necessity, and transcendental truth in the social domain of organizational theory, but it has also failed at the level of individual psychology. The latter result has put pressure on the ideals of inalienable natural rights, rationality, and the natural goodness of individuals in virtue of their necessary and essential humanity. If sociopsychological reality is entirely a social construction, then that reality must be entirely contingent, in which case the individual's will, personality, and even rationality is subject to the control of the state and whichever power interest dominates it. Instead of entering a social contract with each individual citizen, the state and its institutions (e.g., schools) may seek to control, condition, and dominate its citizens for the greater benefit of a few. One way this can be accomplished is by describing as necessary, fixed, and final what is merely contingent, transient, and in process. The result is the illusion of freedom and equality. The details of how it is even imaginable to challenge integral liberalism is discussed in the four remaining philosophical perspectives.

Needless to say, confidence in integral liberalism comprises the dominant beliefs and values that underlie most of the requests, demands, and pressures placed on principals by various people, special interests, and agencies as well as the beliefs and values of the principals themselves who must respond to the pressures applied.

A conflict of values has been with American education from the beginning. In the early half of the 19th century, Horace Mann worked to establish the "common school," a school that would teach the common sociopolitical values of the republican form of government to all citizens. No controversial topics were to be taught. A problem implicit in Mann's philosophy and one

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that continues to plague the United States today is the assumption of common republican principles upon which all citizens agree. From the beginning, many religious groups rejected the essential rationality of humankind as irrelevant to salvation and flatly denied the innate goodness of humanity. The transcendental order of truth was a moral order revealed by faith in God's law rather than that of reason and natural law assumed by integral liberalism. The church often refused to sign a contract with the state, and while the First Amendment to the Constitution (our social contract) separated church from state, it never fully resolved the dilemma. Even among those devoted to integral liberalism, a tension arose between an emphasis on the individual's essential autonomy, rights, freedom, and rationality on the one hand and the need for social contract on the other. Ever since Mann, public schools have been a major means of social control. Probably the most difficult problems encountered by the educational administrator will involve the demand of some special interest either to provide more social control to meet the needs of society (e.g., more discipline, better prepared workers, and the need to be more productive to meet the challenge of foreign competition) or the needs of the individual (e.g., less restrictive discipline, more creativity and self-expression.) Often, the principal is caught in the crossfire of these sometimes contradictory demands that define the dialectic of self and society, the dialectic of freedom.

There is no doubt that in the 20th century, government-operated public schools have selected the goals of social and political stability, along with economic development, as their primary goals. Yet, as expressed in the Goodlad study earlier, such goals have not always been shared by parents and teachers. Goodlad (1984) defines vocational (economic) to mean preparation for work, social to mean preparation for social life in a modern complex society, personal to mean individual responsibility and free self-expression, and intellectual to mean knowledge and skills. As we have seen, teachers at all grade levels and parents of elementary and middle school students place economic goals last, whereas parents of high school students place economic values third above social goals. High school students selected vocational goals as first. It was the second choice at the other two levels. There is conflict among teachers, students, parents, and the general public over the goals of schooling; for example, goals like the personal and intellectual that play off the individual self against more socially oriented goals (social and vocational).

Over the past four decades, the most important source of educational conflict has centered on how to realize integral liberalism's ideal of equality of

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opportunity and the associated ideal of equality of educational opportunity. Ideally, equality of opportunity would mean that every citizen held their social position on the basis of personal merit and not wealth or family influence. Failing that, we try for the second best thing, equality of educational opportunity, an ideal closely associated with social mobility. It is widely held in the United States that schooling, along with individual initiative and talent, will lead to social mobility. Some, though, have argued that schools, through a variety of means (e.g., tracking, ability grouping, counseling, methods, teacher and administrative expectations, and unequal school expenditures), actually reinforce and reproduce social-class, racial, and gender inequalities. Others see the same means as contributing to social efficiency and as enhancing social mobility. Since *Brown v. Board of Education of Topeka* (1954), the struggle for equality of educational opportunity has been engaged by racial minorities, women, and the differentially abled, and, more recently, by gay rights groups, among others. Extensive government involvement in public education has accompanied these struggles, especially in the 1960s and 1970s. This involvement has been particularly offensive to contemporary conservatives and neoconservatives, who generally prefer to preserve the rights of individuals from government intervention, whereas contemporary liberals generally favor a stronger element of (national) state control, including state control of education. Both contingents share the values of integral liberalism, including especially the ideal of equality. They differ only in values emphasis and on the means of realizing them. Indeed, integral liberals from both the political left and right tend to express faith in what we have called functionalism, with its positivistic and objectivistic assumptions, as a tool of "rational" planning, social engineering, and management of organizations, business, industry, and government organizations, including schools. Shared confidence in expert management systems find models of problem solving like that of Newell and Simon (1972) and utilitarian cost-benefits analysis as exemplary practical examples.

A particularly vexing contemporary problem for integral liberals are the issues raised by the so-called "new immigrants," who are primarily Asian and Hispanic. Many of these immigrants are from Third World countries. Unlike previous waves of immigration, these peoples have been more resistant to "Americanization"; that is to say, not sharing the Western tradition of integral liberalism, they seek accommodation of cultural differences rather than assimilation. The result has been a push toward greater pluralism, and a debate over which values, ethnic customs, and even language will dominate American schools in the future.

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In a forthcoming publication, Kenneth R. Howe argues forcefully that the liberal democratic tradition can be detached from the positivism and utilitarianism that seems to form the foundation of functionalism. We do not have time to present this discussion here, but it is worth reminding the reader about the significant and subtle nuances that can alter our understanding and appraisal of each of the perspectives we discuss.

None of the five philosophies described in this domain seriously challenges the absolute value of freedom and equality, although four of them depart more or less from integral liberalism in their thinking about what precisely freedom and equality might mean and how it might be achieved. Furthermore, as we move toward the close of the 20th century, many people, especially women and minorities, have come to critique integral liberalism and express their concerns in terms found in other philosophical perspectives.

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LEGAL AND REGULATORY APPLICATIONS

DOMAIN 19

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LEGAL AND REGULATORY APPLICATIONS

DEFINITION

Legal and Regulatory Applications: Acting in accordance with federal and state constitutional provisions, statutory standards, and regulatory applications; working within local rules, procedures, and directives; recognizing standards of care involving civil and criminal liability for negligence and intentional torts; and administering contracts and financial accounts.

Principals require a knowledge of legal and regulatory applications in order to address a range of complex and sensitive problems that arise in the school setting. Operating within the constraints of our system of laws and in accordance with its mandates requires both technical knowledge and awareness of the fundamental values that undergird legal and regulatory standards.

LITERATURE REVIEW

As the American public school system has evolved, so, too, has the state and federal regulation of it. School boards, for example, which have the power to sue, be sued, ratify and execute contracts, and tax and expend funds, are bound by common and statutory law. Long regarded as public corporations, boards and their employees have historically been subject to the principles of contracts and torts (Valente, 1987).

Compulsory attendance, finance and taxation schemes, and a governance structure for public education were firmly established within state laws by the late 19th century. (Tyack-James, & Benavot, 1987). Federal constitutional issues increasingly came to be applied judicially to public schools and school systems beginning with the landmark school desegregation case of *Brown v. The Board of Education of Topeka* (1954). In the early 1960s and 1970s, courts and legislative bodies expanded personal and civil rights and limited the authority of school officials in favor of the individual's freedom from governmental intrusion. Educational equity and the enforcement of individual rights presented powerful social issues that fueled litigation and compelled change in the U.S. public education system (Alexander & Alexander, 1992). Public concern for quality and accountability also have contributed to a new genre of legal mandates ranging from student performance standards to teacher performance evaluations (McCarthy & Cambron-McCabe, 1987).

Since the 1950s, increased legalization, centralization, and regulation have marked public school governance (Kirp & Jensen, 1986). Today's public schools and their officers and employees are confronted with a wide range of constitutional, statutory, and regulatory constraints. These have evolved from the judicial activism of the 1950s and 1960s, from federal legislative mandates like the Civil Rights Act of 1964 and the Education of All Handicapped Children Act of 1974, and from present-day state-initiated accountability efforts.

Although an understanding of the contemporary legal system requires an appreciation for legislative, regulatory, and judicial contributions, much of the law's implications for public education focuses on appellate decisions of state and federal courts (Rebell & Block, 1982). In the American common law system, the judiciary plays a vital role in interpreting constitutional and legislative provisions, determining the authority and scope of administrative regulations and board rules, and applying standards of common law (Reutter, 1985). The judiciary at both the state and federal level has assumed a prominent role in determining aspects of educational practice that cut across social and political policy (Yudof, Kirp & Levin, 1992).

The costs of litigation, monetary and otherwise, require principals to adopt a preventive law approach to professional practice. Knowledge of legal issues and competence in managing school risk is essential to avoid legal liability and to provide effective on-site leadership (Strahan & Turner, 1987). With this knowledge, principals can identify legal issues, foresee potential legal liability, and act to reduce or mitigate risks.

THE PROCESS MODEL

The conceptual model for this domain is derived, in general, from the traditional approach described by Sheldon (1974) and, in particular, from reasoning by example and the doctrine of precedent as defined by Levi (1949) and Cardozo (1921). It is a legal and historical framework that borrows generously from the normative aspects of policy and political influences (e.g., Yudof et al., 1992; van Geel, 1987; Tyack et al., 1987). It views history and case law as "not only explanation, but also [as] standards for judgment" (Sheldon, 1974, p. 201). As such, it offers principals a useful guide to professional practice.

TRADITIONALIST PERSPECTIVE

A traditionalist approaches the study of the American judicial process from historical, sociological, legal, and philosophical perspectives and examines case law for meaning, patterns, and direction. This examination is conducted not to find immutable truths or inflexible rules, but to find rational bases from which future decisions and judgments can be made.

In its most basic form, the traditional approach uses the historical progression of case law to compare facts, circumstances, contexts, decisions, and judicial opinions in order to formulate guiding principles. Cardozo (1921) summarizes the traditionalist's historical perspective as follows:

> I do not mean that the directive force of history, even where its claims are most assertive, confines the law of the future to uninspired repetition of the law of the present and the past. I mean simply that history, in illuminating the past, illuminates the present, and in illuminating the present, illuminates the future. (p. 53)

The traditionalist approach can achieve heuristic and predictive results because it is not limited to the narrow confines of formal models. By focusing on the variables and analytical processes common to a given segment of case law, legal standards and principles that can be applied to decision making may be derived. Within this normative framework, "(t)he traditionalist does not merely record history, he draws lessons therefrom" (Sheldon, 1974, p. 213). Although this process may involve an "investigation of origins or an effort of pure reason" (Cardozo, 1921, p. 52), it takes direction from the following premise:

> Given a mass of particulars, a congeries of judgments on related topics, the principle that unifies and rationalizes them has a tendency, and a legitimate one, to project and extend itself to new cases within the limits of its capacity to unify and rationalize. It has the primacy that comes from natural and orderly and logical succession. (Cardozo, 1921, p. 31)

REASONING BY EXAMPLE AND THE PRECEDENT DOCTRINE

The traditionalist approach provides an overall theoretical perspective from which to view the law as it is embedded in policy and practice. Reasoning by example and the doctrine of precedent provide a practical framework for using case law to derive legal standards appropriate to the principal's role as actor and policy-maker.

In American jurisprudence, common law is a product of judicial interpretations elaborated through an evolutionary process. There are no "preestablished truths of universal and inflexible validity" (Cardozo, 1921, p. 22). Laws are derived by an inductive process requiring that generalizations be drawn from particulars:

> In law, as in every other branch of knowledge, the truths given by induction tend to form the premises for new deductions. . . . These fundamental conceptions, once attained, form the starting point from which are derived new consequences, which at first tentative and groping, gain by reiteration new permanence and certainty. In the end, they become accepted themselves as fundamental and axiomatic. So it is with the growth from precedent to precedent. (Cardozo, 1921, pp. 47–48)

In reaching conclusions and issuing opinions, judges attempt to view the law through the eyes of their predecessors. They refine, redefine, and adapt legal principles to the changing needs of society, but rarely do they reject the established path. Thus, the law remains dynamic as modifications are made gradually and incrementally. Through evolutionary rather than radical change, the law retains consistency, a normative aspect characterized by reliance on precedent.

Levi (1974) has outlined the process of legal reasoning and the role of precedent as follows:

> The basic pattern of legal reasoning is reasoning by example. It is reasoning from case to case. It is a three-step process described by the doctrine of precedent in which a proposition descriptive of the first case is made into a rule of law and then applied to a next similar situation. The steps are these: similarity is seen between cases; next the rule of law inherent in the first case is announced; then the rule of law is made applicable to the second case. (pp. 1–2)

Although this process may be called reasoning by logic, analogy, or example, its essence is the "derivation of a consequence from a rule, or a principle, or a precedent which, accepted as a datum, contains implicitly within itself the germ of the conclusion" (Cardozo, 1921, p. 49). By identifying the similarities and differences from case to case, standards emerge that provide guidance for future analyses and decisions.

In employing the traditionalist approach through the legal-historical framework of reasoning by analogy and the doctrine of precedent, the legal standards that shape the American common law system are delineated.

KNOWLEDGE AND SKILLS

This domain requires knowledge of principles that limit authority, define individual and corporate liability, and inform standards of educational and managerial practice.

Competency for principals in this area would reflect knowledge of the following:

- federal constitutional provisions applicable to a public education system;
- federal statutory standards and regulatory applications relevant to public schools;
- state constitutional provisions, statutory standards, and regulatory applications related to public school operation in a selected state;
- standards of care applicable to civil or criminal liability for negligent or intentional acts under a selected state's common law and school code; and
- principles applicable to the administration of contracts, grants, and financial accounts in a public school setting.

This domain draws heavily on the knowledge and skills acquired in the functional domains of Information Collection, Problem Analysis, Judgment, and Implementation (Domains 2, 3, 4, and 6, respectively), as well as on the contextual domain of Policy and Political Influences (Domain 20). It defines the scope of the principal's authority by identifying constraints and specifying the instrumentality for exercising power. Seldom does it define a single standard of "best practice"; it is more likely to limit options within the realm of practice.

FEDERAL CONSTITUTIONAL PROVISIONS

Federal constitutional provisions applicable to a public education system include constraints on the authority of the principal operating under "color of state law." The principal, as an agent of the state, must be mindful of the range of individual freedoms articulated within the United States Constitution, including, but not limited to:

- First Amendment rights to free speech and association, free exercise of religion, press freedom, and the separation of church and state;
- Fourth Amendment rights to privacy, particularly as they

apply to search and seizure in a public school setting; and

- Fourteenth Amendment rights to due process of law and equal protection of the law as applied to a wide range of issues, including disciplinary and academic policies and their implementation on site.

FEDERAL STATUTORY REQUIREMENTS

The principal must be aware of federal statutes and accompanying regulations that directly implicate the operation of public schools. Among these statutes are federal antidiscrimination provisions such as Titles VI and VII of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act, and the Age Discrimination in Employment Act. These statutes also include provisions conditioning the receipt of federal financial assistance upon compliance with certain educational practices. These include the Education of All Handicapped Children Act and the Family Educational Rights and Privacy Act. In addition, there are a significant number of other federal statutes with regulations that implicate school-site policy. They include provisions of copyright law, access to public documents, and record keeping.

STATE CONSTITUTIONAL AND STATUTORY PROVISIONS

Because education is a primary function of state government and is mandated in provisions of the state constitution, there are a wide variety of state constitutional, statutory, and regulatory standards applicable to public school operation. Many of these provisions are unique to particular state jurisdictions; others are generalizable to most states. All states, for example, provide for a system of public education and define the duties of officers, school boards, and principals. All states make provision for personnel administration, including statutory and regulatory requirements related to certification, selection, evaluation, dismissal, reprimand, and nonrenewal of employees. Many states incorporate standards and procedures related to compulsory school attendance, minimum competencies, required curriculum, construction and maintenance of facilities, and public school finance. Finally, state laws may implicate the duties of school administrators through provisions for open meetings and access to public documents or administrative procedure enactments.

CIVIL AND CRIMINAL LAW LIABILITY

A substantial body of law affecting school operation and the duties of administrators arises under common law and state statutory codes specifying civil or criminal penalties for the breach of a duty of care. Tort law provides actions in damages for negligence and/or intentional acts that cause injury to students, employees, or third persons. Liability for a breach of duty may include civil and criminal penalties and could implicate school employees, the board, and the principal. Furthermore, state statutes increasingly prescribe affirmative duties of care for school officials, requiring, for example, the reporting of child abuse and neglect. Because of special duties of care for adequate supervision, proper instruction, and reasonable maintenance of school equipment and facilities, principals must be aware of the nature and extent of individual and school district liability in order to manage risk effectively.

ADMINISTRATION OF CONTRACTS AND ACCOUNTS

Although the degree of authority and discretion varies by state and district, principals must know fundamental principles of agency, accountability, and the limits of managerial authority in negotiating and managing contracts, grants, and other financial accounts. Site-based management and decentralization within school systems has been accompanied by delegation of responsibility for management of contracts for goods and services. Negotiated agreements with organized employees place obligations on the principal for contract administration. Finally, reporting requirements and constraints on authority impose duties on the principal related to accountability for financial reporting, auditing, and oversight of contracts, grants, and financial accounts.

KEY BEHAVIORS

Although the principal may invoke various frameworks to explicate the normative issues within the domain of legal and regulatory applications, it is expected that effective behaviors in this domain would include the following:

- articulating the legal issue(s) that arise from alternative policy options involving practice;
- delineating a legal rationale that guides conduct in resolving a controversy with legal implications and for which action is required by law; and
- justifying a course of conduct or position in light of the degree of conformity to legal principles.

For example, in the area of *federal constitutional provisions*, a principal, when considering whether to conduct a search of a student's purse in a public school setting, would be able to:

- articulate that any search by a school official would implicate a student's right to privacy under provisions of the Fourth Amendment to the U.S. Constitution;
- delineate that such a search must be based on a reasonable suspicion standard requiring that a search be justified at inception and limited in scope; and
- justify a decision to search (or not to search) on the basis of weighing actual facts available at the time of the search that relate to that which is sought, knowledge of the student, credibility and reliability of information leading up to the search, and the degree of reasonable suspicion thus established (see *New Jersey v. T.L.O.,* 105 S.Ct. 733 [1985]).

In the area of *federal statutory requirements,* a principal, in dealing with a parent's demand that his or her child be offered an educational program that would optimize educational opportunity and benefits for the handicapped child, would be able to:

- articulate that the provisions of the Education of All Handicapped Children Act, as interpreted by federal regulation and judicial opinion, govern the applicable standard for educational services to a special education student;
- delineate that, whereas optimizing educational opportunity may be desirable, federal special education law only requires that the child receive a "free, appropriate education"; and
- justify a decision to refer the student for development or review of an individualized educational plan based on consultation with an expert qualified to make an informed decision on any modification of the child's placement (see *Board of Education v. Rowley,* 102 S.Ct. 3034 [1982])

In the area of *state constitutional and statutory provisions*, a principal, in responding to an instance in which an employee refused to obey a directive, would be able to:

- articulate that insubordinate conduct is a proper cause for employee discipline when accompanied by evidence that the employee refused to obey a reasonable rule or directive;
- delineate that any form of discipline related to insubordinate conduct must be based on documented evidence of observable behavior reasonably related to job performance and that persistent and continuous insubordinate conduct could serve as a ground for dismissal; and
- justify a decision to prepare (or not to prepare) a written reprimand on the basis of a determination that the rule or directive

was reasonably related to job performance and that the employee's refusal to perform was not justified by extenuating factors.

In the area of *civil and criminal liability,* a principal, in responding to confirmed reports that the residential area surrounding the school has experienced an outbreak of violent crimes within the previous week, would be able to:

- articulate that under standards of negligent liability, school officials owe a duty of reasonable care for the health and safety of school children, particularly during those hours in which school is required to be open;
- delineate that the duty of reasonable care requires foreseeing potential dangers to students, acting to reduce those dangers, and providing adequate supervision of students; and
- justify a decision directing heightened supervision of students and increased surveillance of school grounds during the school day on the basis that these actions will reduce the risk of harm that might be associated with violent crime.

In the area of *administration of contracts and grants,* the principal, when undertaking to purchase equipment governed by competitive bid statutes, would be able to:

- articulate state competitive bid requirements applicable to purchases that are not exempt under special procurement agreements and that involve contracts for purchases above a stipulated dollar amount;
- delineate the statutory standards and procedures applicable to the bidding process, including requirements for specificity in the bid item and avoidance of artificially splitting materials into small contracts to avoid competitive bidding; and
- justify a decision to seek competitive bidding under state contract law on the basis of ensuring compliance with state law designed to prevent fraud, collusion, or favoritism, and to ensure the lowest available price for the equipment desired.

PERFORMANCE STANDARDS

After completing this domain, principals should be able to:

1) demonstrate knowledge of federal constitutional provisions that apply to the public education system by identifying judicially recognized individual rights guaranteed by the First, Fourth, and Fourteenth Amendments to the U.S. Constitution;

2) demonstrate knowledge of federal statutory and regulatory provisions that influence public education by identifying:

   - judicially recognized interpretations of the purpose and intent of federal statutes and regulatory provisions prohibiting discrimination;
   - educational procedures required under federal statutes and implementing regulations; and
   - statutory and regulatory standards applicable to copyright infringement, access to public documents, and record keeping.

3) demonstrate knowledge of state constitutional, statutory, and regulatory provisions governing a state's educational system by identifying:

   - the statutory powers and duties of elected officials, education boards, administrative officers, and school principals in a selected state;
   - the standards and procedures of administrative law, public disclosure, and record keeping in a selected state;
   - the statutory and regulatory criteria applicable to certification, selection, evaluation, corrective discipline, dismissal, nonrenewal, or reduction in force in a selected state; and
   - standards and procedures applicable to provision for minimum competencies, compulsory school attendance, curriculum development, facilities maintenance and construction, and finance in a selected state.

4) demonstrate knowledge of the standard of care applicable to civil or criminal liability for negligent or intentional acts under a selected state's common law or school code by identifying:

   - legislatively mandated or judicially recognized elements of liability for negligence in a selected state;
   - legislatively mandated or judicially recognized elements of intentional tort liability in a selected state; and
   - legislatively mandated elements of statutory liability in a selected state.

5) demonstrate knowledge of principles applicable to the administration of contracts, grants, and financial accounts in a school setting by identifying:

   - statutory or regulatory powers and constraints related to the principal's power to contract for goods and services in a selected state;
   - powers and duties applica-

ble to the management and administration of the contract of employment; and

- legislatively or judicially defined constraints applicable to the management of grants and financial accounts.

EDUCATION AND TRAINING

The knowledge base for this field is described and updated periodically in a variety of books and periodicals. As a traditional part of administrative preparation programs in colleges and universities, a number of authorities instruct and consult within the field. Inservice training and traditional classroom instruction are typically available throughout the United States. Professional associations like the National Organization on Legal Problems of Education, the National Association of Elementary School Principals, and the National Association of Secondary School Principals promote knowledge of the subject matter field through conferences and seminars, newsletters, books, and monographs.

The knowledge base is particularly suited to case study. Common law systems like that of the United States emphasize judicial opinions resolving actual controversies as a primary source of interpretation. Textbooks and treatises offer illustrative cases in encyclopedic summaries, abstracts, and edited versions of leading judicial opinions to communicate legal principles that can be generalized to similar circumstances in school settings.

Education and training traditionally include the study and interpretation of selected cases, particularly judicial opinions at the highest jurisdictional level (i.e., United States Supreme Court, state supreme courts, and federal appeals courts) and their implications for educational practice. This activity can be enhanced through simulations, hypothetical problems, and other activities that allow trainees to role play or reflect on controversies that have been subject to judicial resolution. An advantage to the latter approach is that it places trainees in a context in which behaviors associated with functional, programmatic, and interpersonal domains of the principalship can be observed.

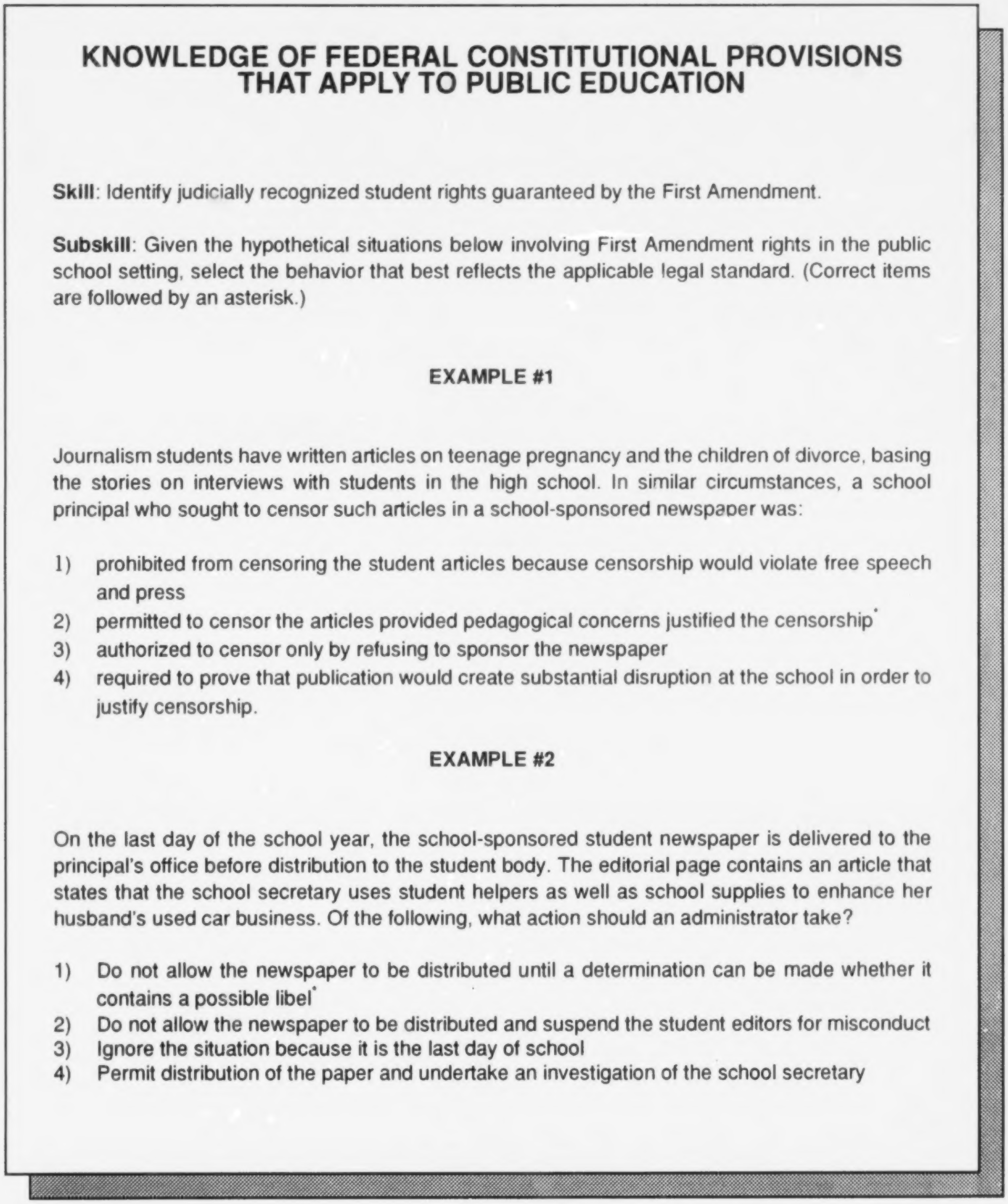
The scope of knowledge in this domain is extensive, highly cognitive, and often subtle in its manifestation. Substantial reliance on case problems and simulations has the disadvantage that these approaches require time for development, limiting the range of competencies that can be addressed. Knowledge of legal and regulatory applications may not always be observable in the resolution of a case problem or simulation; rather, it may be an underlying contextual variable necessary to problem resolution. It is recommended, however, that a portion of education and training emphasize case problems and simulations to enhance transfer and heighten emphasis on the application of knowledge.

MEASUREMENT PROCEDURES

At one level, it is possible to assess this knowledge base through objective testing, using any one of several formats, including multiple-choice exams or short essays validated through standardized testing protocols. It is recommended that the use of exams or essays be developed from actual cases drawn from judicial decisions interpreting legal and regulatory standards. A representative multiple-choice item (see Fig. 19-1) might include a hypothetical situation involving the interpretation of a legal or regulatory provision based on an actual judicial opinion. The trainee's task would be to select the behavior or the resolution that best reflects the applicable legal standard. Distracters among the multiple choice options could include resolutions or behaviors unrelated to the legal standard or those that incorrectly interpret the legal standard.

At another level, application of the knowledge base to actual situations may be assessed through the use of simulations or case problems structured to introduce elements that require domain knowledge in order to perform effectively. This approach more closely approximates a model requiring practical application and the demonstration of knowledge and skills. As previously indicated, the trainee would articulate the legal issue(s) present in the case problem or simulation, delineate the rationale appropriate for resolution, and justify the course of policy or conduct that would reduce risk of legal liability. (For abbreviated case problems and appropriate responses, see section on key behaviors above.)

Focused position papers emphasizing research on current legal controversies also would provide opportunities to assess the trainee's competence to articulate legal issues, develop rationales, and present persuasive legal justifications for a position. As a precursor to this activity, trainees would be introduced to law library materials such as law journals, legal reference materials, and case reporters. The position papers would permit trainees to explore topics of particular interest and relevance.



KNOWLEDGE OF FEDERAL CONSTITUTIONAL PROVISIONS THAT APPLY TO PUBLIC EDUCATION

Skill: Identify judicially recognized student rights guaranteed by the First Amendment.

Subskill: Given the hypothetical situations below involving First Amendment rights in the public school setting, select the behavior that best reflects the applicable legal standard. (Correct items are followed by an asterisk.)

EXAMPLE #1

Journalism students have written articles on teenage pregnancy and the children of divorce, basing the stories on interviews with students in the high school. In similar circumstances, a school principal who sought to censor such articles in a school-sponsored newspaper was:

1) prohibited from censoring the student articles because censorship would violate free speech and press
2) permitted to censor the articles provided pedagogical concerns justified the censorship*
3) authorized to censor only by refusing to sponsor the newspaper
4) required to prove that publication would create substantial disruption at the school in order to justify censorship.

EXAMPLE #2

On the last day of the school year, the school-sponsored student newspaper is delivered to the principal's office before distribution to the student body. The editorial page contains an article that states that the school secretary uses student helpers as well as school supplies to enhance her husband's used car business. Of the following, what action should an administrator take?

1) Do not allow the newspaper to be distributed until a determination can be made whether it contains a possible libel*
2) Do not allow the newspaper to be distributed and suspend the student editors for misconduct
3) Ignore the situation because it is the last day of school
4) Permit distribution of the paper and undertake an investigation of the school secretary

Fig. 19-1

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POLICY AND POLITICAL INFLUENCES

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POLICY AND POLITICAL INFLUENCES

DEFINITION

Policy and Political Influences: Understanding schools as political systems; identifying relationships between public policy and education; recognizing policy issues; examining and affecting policies individually and through professional and public groups; relating policy initiatives to the welfare of students; addressing ethical issues.

Policy is a purposive course of action, adopted by governmental and organizational actors (or participants) who have the formal authority to make binding decisions. Although policies are formulated and enacted at many levels of a system, policy decisions made at lower levels are circumscribed by those made at higher levels. (District policies, for example, are circumscribed by state and federal policies.)

Policy is manifested in the statutes, regulations, guidelines, and codifications that define the purposes and parameters of specific actions, establish individual and institutional responsibilities, outline the rules to be followed, and identify resources to be allocated. Thus, policy is related—although not equated—with practice. Dominant patterns of practice indicate the extent to which a policy has been implemented and the degree to which it has produced effects. Although this distinction is contested in the literature, it helps gauge the impact of policy on practice.

Policy is a multipurpose, multidimensional phenomenon. It attempts to solve substantial problems, regulate real or potential conflicts, and accommodate the diverse views, values, preferences, and priorities held by powerful actors whose support is deemed necessary for a system to survive. As such, it is a normative force that shapes conceptions of what ought to be and allocates resources in ways that affect the realization of social values, or, more precisely, the desired state of affairs embodied by them. Succinctly put, policy is a solution to a problem, a product of power, an allocation of values.

Political influence, by contrast, is the capacity to affect decisions during the policy-making process. It is based on power and can be exercised for good or ill and expresssed in various styles of play (e.g., adversarial, collaborative, etc.). An actor's ability to exercise political influence depends on the command of power resources and the skill and determination applied to their use. Since the relevance of power resources and the incentives for political action vary, actors can influence some arenas more than others, some issues more than others, and some phases of the process (articulation, formulation, enactment, etc.) more than others.

Schools are viewed as targets of political influence because they must comply with governmental policies and respond to constituent pressures. In addition, schools are arenas for political influence because they are comprised of actors who shape policies inherited from the larger system and develop policies for their own units.

Not surprisingly, principals are pivotal political actors who, like other authorities standing at the boundary of a system, are objects and sources of political influence. They are the recipients of internal and external political influences (e.g., teachers, students, community organizations, state and federal governments, unions, etc.). They also are sources of influence because they can shape policy in their own schools and—to a lesser extent—in local, state, and federal arenas (Piazza, 1991; Wiles, Wiles, & Bondi, 1981; Wirt & Kirst, 1975).

Although political leadership is not extensively or uniformly addressed in most treatments of the political systems construct, it is defined here as a special form of power-based interaction, as responsible political influence. Such interactions are characterized by conscientious attention to the moral dimensions of the ends and means they employ (Burns, 1978).

In educational arenas, political leadership is exercised when responsible actors mobilize their power and resources with honesty and integrity; when they seek to develop, implement, and sustain viable solutions to pressing problems; and when, in doing so, they promote, protect, and preserve defensible conceptions of the social values of quality, equity, efficiency, and liberty.

LITERATURE REVIEW

Policy and political influence are slippery subjects, elusive notions difficult to grasp given multiple conceptions of policy and political influence and various interpretations of the impact of policy and political decisions on schools. Nevertheless, one broad concept accommodates most others: schools as political systems. This concept delineates and circumscribes the domain. It provides a framework for integrating diverse views of policy and political influence, and for clarifying divergent perspectives. Thus, it serves as the foundation for the domain.

ALTERNATIVE CONCEPTIONS OF POLICY

Conceptions of policy range from narrow definitions of governmental action to broad views of organizational activity. Although the latter risk equating policy with anything and everything that occurs in schools, they, nevertheless, highlight the complex issues associated with understanding and affecting policy.

Policy as Governmental Action: Narrowly defined, policy is a purposive course of action authorized by an elected body (e.g., state legislature or a board of education). Broadly defined, it is the formal actions of numerous elected or appointed bodies and their agents and the codification of these actions in official documents (e.g., judicial rulings, legislative statutes, board of education regulations, etc.) However construed, it is a formal expression and endorsement of governmental intentions and actions (e.g., Anderson, 1975; Boyd, 1990; Elmore & McLaughlin, 1988; Mitchell, 1985).

Policy as Organizational Activity: Generically defined, policy is the dominant patterns of practice developed by organizational members. Such practices are evident in the unwritten norms, routines, standard operating procedures, regularized activities, informal agreements, and tacit treaties that guide and govern what actually occurs in schools (Elmore & McLaughlin, 1988; Powell, Farrar, & Cohen, 1985; Sedlak, Wheeler, Pullin, & Cusick, 1986; Shephard, 1991). This expanded definition suggests that:

- policies are not simply enacted by governmental bodies; they are formulated by organizational members as well;
- policies enacted by governmental bodies may not be the policies implemented in schools;
- policy in print may not be the policy in practice; and
- policy encompasses the informal, unofficially endorsed organizational habits, adaptive responses, and patterned activities as well as the formal, officially authorized actions of governmental and organizational members (Elmore & Mc-

Laughlin, 1988; Firestone, 1989; McLaughlin, 1987; Shephard, 1991).

ALTERNATIVE CONCEPTIONS OF POLITICAL INFLUENCE

Conceptions of political influence, like those of policy, are both narrow and broad. The former treat political influence in pejorative terms and/or confine it to governmental arenas. The latter treat it more descriptively and view it as an integral part of organizational life and an essential component of school leadership. However defined, political influence generally is perceived as a function of power—a phenomenon that warrants the attention of those who seek to affect policy decisions in educational and governmental arenas.

Political Influence as a Pejorative Phenomenon: Political influence has been cast as an unwarranted and unwelcome interference that diminishes the professional image of educators and the effective operation of schools. It is depicted as a reckless and ruthless battle to beget private payoffs at the expense of public benefits. Political influence becomes something to avoid and eliminate, not something to examine and affect. Although political influence also has been defined in positive terms (i.e., as the means through which social injustices are averted or redressed), these positive connotations are not typically present, let alone prominent, in conversations about politics in education or political influences on schools (Boyd, 1989, 1990; Viteritti, 1986).

Political Influence as a Governmental Phenomenon: Political influence also has been defined in governmental terms. Here, it is confined to elected officials, established interest groups, partisan rivalries, electoral contests, legislative decisions, and other activities associated with governmental functions and operations (Bowles, 1989; Kingdon, 1984; Mazzoni, 1992).

Political Influence as an Integral Part of Organizational Life and an Essential Component of School Leadership: Less restrictive and more integrated conceptions of political influence exist (Mazzoni, 1992). These concepts recognize that:

- political influence operates in positive and negative ways;
- being political is not antithetical to being professional (Blase, 1991a; Burns, 1978);
- political influence is an integral and inescapable part of organizational as well as governmental life (Bacharach & Lawler, 1980; Baldridge, 1983; Ball, 1987; Blase, 1991a; Mintzberg, 1983; Pfeffer, 1981); and
- political influence is a necessary but insufficient commodity for those who wish to exercise leadership in their organizations and survive in their po-

sitions (Block, 1991; Burns, 1978; Cuban, 1988; Hardy, 1987; Hoyle, 1986; Kanter, 1983; Mangham, 1979).

For example, some scholars believe that because organizational policies, programs, and practices often evolve as the result of prior political exchanges, efforts to alter them probably will involve ongoing, political negotiations (Hardy, 1987; Hoyle, 1986; and Pfeffer, 1981). Furthermore, literature rooted in political science, public policy, and organizational theory (Nakamura & Smallwood, 1980; Stone, 1980; Pfeffer, 1980; Morgan, 1986; Kanter, 1983) and studies of educational innovation, organizational change, and public policy implementation document that the processes through which educational reforms are adopted and implemented are fundamentally political in character (Berman & McLaughlin, 1978; Cuban, 1990; House, 1981; McLaughlin, 1987; Weatherby & Lipsky, 1977). Thus, the ability to exercise political influence appears to be essential to school leadership.

Political Influence as the Exercise of Power in Decision Making: However cast, political influence is inextricably linked to power (Bacharach & Lawler, 1980; Blase, 1991b; Mazzoni, 1992; Pfeffer, 1981). Power—and the related terms *influence* and *authority*—have been defined in different ways. However defined, political influence is generally conceived as being a function of power, or, more precisely, the strategic use of power to affect decisions on issues of interest and import to the actors involved (Bacharach & Mitchell, 1987; Blase, 1991b; Bowles, 1989; Malen & Ogawa, 1988; Mazzoni, 1992; Pfeffer, 1981). Moreover, political influence frequently is a major factor in shaping and determining which education policy issues get attention and which actions are taken in governmental and organizational arenas (Bacharach & Mitchell, 1987; Campbell, Cunningham, Nystrand, & Usdan, 1990; Fuhrman, 1990; Mazzoni, 1992; Wirt & Kirst, 1989).

ALTERNATIVE CONCEPTIONS OF EFFECTS

There are contrasting views of the manner in which and the degree to which policy decisions and political forces affect schools. Attempts to reconcile them illustrate the pervasive nature of political influences, the consequential character of policy choices, and the factors that condition (bolster or constrain) the ability of policy alternatives to achieve their aims.

Contrasting Views: Different, sometimes competing interpretations exist concerning the impact of policy decisions and political forces on schools. Various accounts indicate that schools are both very open to and effectively insulated from the political pressures mounted by patrons and broad publics (Boyd, 1976; Burlingame, 1987; Campbell et al., 1990; Malen & Ogawa, 1988). Some accounts suggest that policies, irrespective of their origin (i.e., governmental bodies or school settings) and irrespective of their form (i.e., official statements or patterned activities) are very powerful, so powerful that they can hamstring schools, handcuff educators, and harm students (McNeil, 1986; Oakes, 1985, 1990; Shephard, 1991; Sedlak et al., 1986; Wise, 1988) or, conversely, transform schools, empower educators, and inspire students. But other accounts suggest that policies (referring to the formal actions of governmental bodies or their designated agents) are quite powerless, at least when measured by their capacity to achieve their stated aims (Berman & McLaughlin, 1978; Hargreaves, 1991; Malen, Ogawa & Kranz, 1990; McLaughlin, 1987; Weatherby & Lipsky, 1977). Indeed, years of research suggest that policies frequently fall short of their expressed intent to, in one way or another, alter substantially the actual operations and improve the overall performance of organizations generally and schools particularly (Bardack, 1978; Cuban, 1990; Ingram & Mann, 1980; Nakamura & Smallwood, 1980; Sarason, 1990; Williams & Elmore, 1976).

Prominent Themes: Efforts to reconcile the contrasting views of political influence demonstrate that although political forces may be more or less pronounced, they are ever-present (Mazzoni, 1992). Political influence takes many forms and permeates many forums (e.g., state legislatures, local school boards, site-based governance bodies, principals' offices). That political forces appear at times to be dormant (e.g., the school is stable and serene) or distant (e.g., the intense contests are being played in the more remote legislative rather than the more proximate site arena) does not mean they have disappeared. That political forces take on soft, subtle, cooperative, and consensual, as well as bold, spirited, adversarial, and combative styles does not mean they have left the scene or lost their impact (Ball, 1987; Blase, 1991a; Cibulka, 1991; Mazzoni, 1992).

Efforts to reconcile the diverse views of policy impact demonstrate that policy is often consequential, but not necessarily beneficial (e.g., policy can produce changes, but the changes may or may not be improvements). Numerous implementation studies reveal stark disparities between the stated aims and actual effects of governmental efforts to alter school systems. Studies also document the pronounced and pervasive pattern of adapted aims and unanticipated outcomes. Thus, these studies and other works show that policy, however it is defined, tends to produce multiple effects and to beget mixed reviews (Cibulka, 1991; Elmore & McLaughlin, 1988; Ingram & Mann, 1980; Malen & Fuhrman, 1991; Patterson, 1991; Weatherby & Lipsky, 1977). Studies of curriculum and accountability policies, for example, indicate that policy actions can:

- direct attention to or divert attention from instructional improvement;
- alter classroom teaching practices in ways that enhance or impede critical thinking; and
- stimulate organizational responses that dilute or enrich learning opportunities (Cibulka, 1991; Patterson, 1991).

Studies of decentralized, participatory decision-making arrangements indicate that policy actions can:

- strengthen morale and motivation or engender exhaustion and alienation;
- draw attention to or divert attention from teaching and learning; and
- stymie or stimulate parental influence in site-level decision-making (Malen & Ogawa, 1988; Malen et al., 1990).

These examples indicate how policies often produce multiple and mixed results. Some of these results may be congruent with stated goals, whereas others may run counter to them. Some may be beneficial; others may be undesirable.

Efforts to explain these mixed results indicate that numerous forces condition the ability of policy to achieve its stated aims and/or operate to improve schools (Cibulka, 1991; Fuhrman, 1990; Malen et al., 1990; McLaughlin, 1987; Mitchell & Iannaconne, 1980). Policy effects are contingent on a wide range of factors such as the:

- strength of the selected approach (e.g., the viability of the intervention itself);
- design of the policy (e.g., how a policy is constructed);
- "web of policies" (e.g., how a particular policy interacts with other policies) (McLeese, 1992); and
- congruence or correspondence between policy provisions and school context (Elmore & McLaughlin, 1988; Fuhrman, 1990; Mitchell & Iannaconne, 1980).

OVERARCHING CONCEPT:
SCHOOLS AS
POLITICAL SYSTEMS

Clearly, there are multiple conceptions of policy and political influence and diverse assessments of the effect of policy and political influence on schools. Such divergence is not surprising. There is no comprehensive "general theory" of policy and political influence; hence, there is no simple, singular way to tidy up the terminology, let alone get hold of the complexity. In the absence of general theory, scholars often employ an overarching concept, an orienting heuristic that absorbs and clarifies many, albeit certainly not all, of the diverse views of policy and political influence noted above (Bacharach, 1981; Wirt & Kirst, 1975, 1989). A particularly useful heuristic is the concept of schools as political system.

Drawing on and extending the seminal work of Easton (1965), many scholars in education and other fields argue that schools, like other complex organizations, can be understood as political systems (Bacharach, 1981; Bacharach & Mitchell, 1987; Campbell et al., 1987; Wirt & Kirst, 1989). This view is described below.

Characteristics of Political Systems: Political systems have several general characteristics. First, they are comprised of sets of actors (e.g., public officials, administrators, citizens, etc.), some of whom are authorized to enact public policies that regulate actual or potential conflicts surrounding the distribution of scarce but prized material and symbolic resources (e.g., money, time, talent, status, power, and authority).

Second, located in complex social environments, political systems are continuously confronted with multiple, changing, and competing demands. These demands must be converted (e.g., combined, diffused) into responses that will enable the system to retain or regain the support of its constituencies, and maintain or restore the legitimacy of the institution.

Third, because political systems cannot satisfy all of the demands made on them, choices must be made. These choices are expressed in public policies, in formal decisions that allocate scarce resources to select problems, preferences, and priorities; official provisions that determine, in Laswell's (1936) classic words, "who gets what, when and how."

These policy decisions set parameters for subsequent decisions about what ought to be done, how it ought to be done, and who is responsible for doing it. Normally, policy decisions direct subsequent action in a general sector (e.g., education, health, human and social services, taxation) but affect action in another sector (e.g., tax policies that impact education). They are subject to revision, removal, and replacement by "new" policy decisions (Easton, 1965; Campbell & Mazzoni, 1976; Mitchell, 1985; Wirt & Kirst, 1975, 1989).

The process through which multiple, competing demands are converted into policy decisions and revisions has several features.

First, the process embodies interrelated phases. These include:

- the generation of issues, the articulation of disputes regarding the nature of problems, and the propriety of solutions;
- the formulation of alternatives;
- the adoption of a course of action; and
- the implementation of action, or the conversion of policy into practice.

Second, the process pivots on power. Interdependent actors with diverse preferences and priorities advance their interests and ideals by using their power to affect what issues are considered, what choices are made, and whether decisions are implemented. Virtually every phase of the process is shaped by the relative power of the official and proximate actors involved.

Third, the process is complex. Policy decisions are forged in numerous arenas at all system levels, through formal and informal interactions among the actors who seek to influence them.

Fourth, the process is consequential. It produces policies and actions that define the distribution of benefits and burdens, or, in Easton's (1965) classic phrase, "authoritatively allocate values." In short, the process affects and reflects what values will be affirmed or neglected, reinforced, or ignored.

Application to Schools: Scholars view schools as political systems because schools exhibit these general characteristics. First, schools are comprised of sets of actors (e.g., administrators, boards, unions, students, teachers, parents, patrons), some of whom are responsible for implementing governmental policies or developing policies within their own arenas.

Second, schools are embedded in a complex, social environment. They are nested in a multilevel governmental structure that generates and imposes many changing and competing demands on schools. For example, schools are expected to adhere to the formal directives of governments (e.g., desegregate, increase graduation requirements, create school improvement teams, cut budgets, expand services, improve programs) as well as respond to the informal pressures of their various constituencies both within and outside the organization (e.g., establish latch-key programs, develop or avoid partnerships with business, retain programs for the gifted but eliminate ability groupings). Since schools require support to survive, schools must convert the demands into responses that simultaneously satisfy their immediate publics, conform to governmental directives, and accommodate organizational members.

Third, since it is rarely possible for the school to honor all of the demands imposed on it, choices must be made. As in any political system, these choices are expressed in policy decisions, in the formal revisions of policy adopted in other arenas, and/or in the formal provisions of policy developed in the site arena. Normally, these decisions set the parameters for subsequent decisions in the major areas of education policy, namely: organization and governance, curriculum, program, personnel, finance, accountability, and facilities (Mitchell, Marshall & Wirt, 1985). Naturally, these decisions can be revisited and revised.

Finally, as in other political systems, a school's response to multiple, competing demands:

- *occurs in phases*—as issues are generated, alternatives are formulated, choices are made, and formal decisions are (or are not) implemented;
- *pivots on power*—as officials and other proximate actors seek to influence the development and implementation of policies;
- *is complex*—embracing numerous formal and informal interactions among actors in various arenas (e.g., site councils, board meetings, collective bargaining tables, faculty committees, state legislatures, federal bodies); and
- *is consequential*—ultimately determining which issues and alternatives are considered, which policies get adopted, and whether policies are implemented.

Simply put, the policy-making process determines the distribution of benefits and burdens in schools and society and defines the manner in which values are actualized. Of particular concern in education policy is the way in which the social values of excellence, equity, efficiency, and liberty or choice are addressed, neglected, balanced, enhanced, or diminished (Guthrie, Garmes, & Pierce, 1988; Mitchell & Encarnation, 1984). Rooted in various conceptions of social justice, human worth, and public good, these values often are at the heart of education policy issues and debates.

THE POLITICAL SYSTEMS MODEL

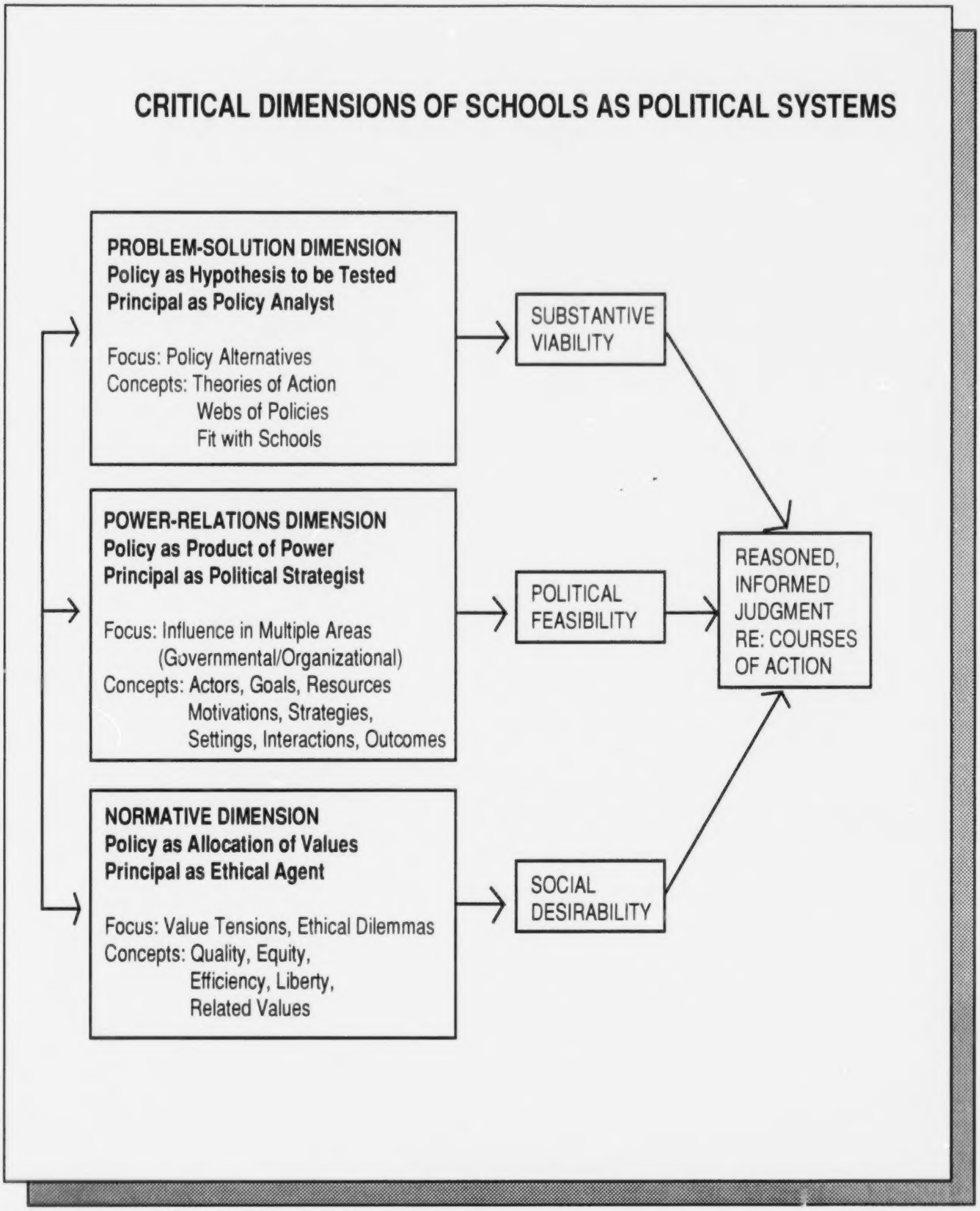
As mentioned above, policy is a multidimensional phenomenon; it is a solution to a problem, a product of power, and an allocation of values. The model presented in Fig. 20-1 focuses on these critical, interrelated dimensions and the roles principals must assume if they are to exercise leadership in schools.

The model emphasizes conceptual knowledge and analytic skills and concentrates on frameworks that can be used to guide analysis and inform action.

Frameworks are tools that can be employed to describe complex phenomena, organize and interpret information, clarify puzzles, and generate insights (Allison, 1971). They usually are composed of sets of analytic categories and subcategories, related questions, and underlying assumptions.

Although frameworks do not ensure sound analysis or sensible action, they do provide a vehicle for thinking about policy and political influence and provide a basis for making informed, reasoned judgments on alternative courses of action (Mazzoni, 1992). If well taught, they enable principals to acquire the orientations and skills that are especially relevant for administrative work (March, 1974).

Each of the frameworks is described in more detail below. Although described sequentially, each embodies iterative and in-



CRITICAL DIMENSIONS OF SCHOOLS AS POLITICAL SYSTEMS

PROBLEM-SOLUTION DIMENSION
Policy as Hypothesis to be Tested
Principal as Policy Analyst
Focus: Policy Alternatives
Concepts: Theories of Action
Webs of Policies
Fit with Schools
POWER-RELATIONS DIMENSION
Policy as Product of Power
Principal as Political Strategist
Focus: Influence in Multiple Areas
(Governmental/Organizational)
Concepts: Actors, Goals, Resources
Motivations, Strategies,
Settings, Interactions, Outcomes
NORMATIVE DIMENSION
Policy as Allocation of Values
Principal as Ethical Agent
Focus: Value Tensions, Ethical Dilemmas
Concepts: Quality, Equity,
Efficiency, Liberty,
Related Values
SUBSTANTIVE VIABILITY
POLITICAL FEASIBILITY
SOCIAL DESIRABILITY
REASONED, INFORMED JUDGMENT RE: COURSES OF ACTION

Fig. 20-1

teractive processes. Principals work within and across the respective frameworks to develop informed, reasoned judgments regarding the substantive viability, political feasibility, and social desirability of policy options and political strategies. Having considered all dimensions of the model, principals make reasoned, informed judgments about alternative courses of action.

PROBLEM-SOLUTION DIMENSION

Understanding how policies (or combinations of them) operate to solve problems is critical when principals try to determine their stand on policy proposals, influence policy choices, implement policy decisions, or develop policy options. Principals must become "policy analysts" who assess the relative strengths of alternatives and devise strategies for using policy to advance school mission and purpose.

The relationship among policy aims, provisions, and effects is never simple or secure. Accordingly, gauging if and how policy proposals and provisions operate as viable solutions to specific school problems requires that policy options be treated as hypotheses to be tested (Elmore, Sykes, & Spillane, 1992; Wildavsky, 1987). A number of frameworks could be employed to carry out such an analysis (Mayer & Greenwood, 1980; Behn, 1981). The one outlined here was selected because it is rooted in, and capitalizes on, educational policy research.

Major Elements of the Hypothesis-Testing Framework: This framework focuses on several concepts.

Theories of Action: a depiction/assessment of how a policy alternative is supposed to affect a policy problem; an illustration/evaluation of the means-end relationships embedded in particular policy alternatives (Argyris & Schon, 1982; Malen et al., 1990). Examining theories of action involves:

- identifying the theories of action embedded in policy proposals, the means-end relationships, and underlying assumptions lodged in policy alternatives. Principals become policy analysts who draw on the definitions of the problems to be addressed and the solutions under scrutiny. They articulate how a policy action (e.g., a move to school-based management) is related to its stated aims and identify the causal connections between aims and actions;
- acquiring and assessing evidence regarding means-end relationships. Evidence can be acquired from various sources (e.g., policy impact studies, technical reports, literature reviews, and accounts of those who have experience with the policy option under scrutiny);
- assessing means-end relationships in light of available evidence; and

- formulating judgments that reflect the nature of the evidence, note the conditions under which means-end relationships are likely to hold, and acknowledge what is known about the unintended effects the policy might engender.

Webs of Policies: the relationships across sets of policies (McLeese, 1992). Examining the web of policies involves:

- identifying how proposed and existing policies may interact;
- identifying how existing policies support, inhibit, augment, or offset a proposed policy's capacity to operate as intended (Firestone, 1989; Fuhrman, 1990; McLeese, 1992; Mitchell & Encarnation, 1984); and
- noting points of compatibility, contention, consistency, contradiction, coherence, and incoherence across policies.

Fit with Schools: the congruence between policy provisions and school context (Mitchell & Iannaconne, 1980). Examining the fit with schools involves:

- identifying the extent to which policies are congruent with organizational norms and habits (Firestone, 1989; Mitchell & Iannaconne, 1980); and
- identifying the adjustments that may be needed for a policy to take hold in schools.

POWER-RELATIONS DIMENSION

Whether principals are trying to affect policy decisions on-site or in broader arenas, their ability to analyze power relationships and to develop strategies for influencing interactions is critical. Principals must recognize that policy decisions reflect the relative power of the actors involved in the decision-making process as much as the relative merits of available options. Accordingly, they must become "political strategists" who seek to understand how actors with diverse preferences and priorities can mobilize their power resources to influence issues in different arenas during all phases of the decision-making process.

As political strategists, principals can make use of various frameworks for political analysis to understand power-influence relationships and to develop strategies that can affect decision outcomes (Allison, 1971; Bacharach & Mitchell, 1987; Bolman & Deal, 1991; Campbell & Mazzoni, 1976; Meltsner, 1972; Morgan, 1986). The framework outlined here draws largely, often literally, from Mazzoni (1992) because it is well grounded in relevant literature, highly versatile (i.e., applicable to a variety of issues, arenas, and phases of the decision-making processes), and easily adapted to different purposes (e.g., profiling an organization's power structure, gauging a policy alternative's political feasibility, acquiring insights on strategies and tactics, etc.).

Major Elements of the Power-Influence Framework: This framework focuses on actors, goals, resources, motivations, strategies, settings, interactions, and outcomes. Political strategists use these categories and information drawn from various sources (e.g., documents, informal conversations, interviews, observations, etc.) to map the political terrain and generate insights and implications for action.

Actors: Analyzing actors involves:

- identifying the individuals, groups, organizations, and alliances who are or who might become involved in an issue; and
- describing their "personalities," not in a psychological sense but in a communication sense (e.g., their frames of reference, cognitive styles, usual responses to the stress that can accompany political interactions).

Goals: Analyzing goals involves:

- identifying the outcomes desired by the actors;
- recognizing the manner in which goals, although subject to change, reflect fairly stable interests, ideologies, views, and values; and
- noting points of contention and congruence among actors, gauging prospects/bases for alignments across actors, and gauging the strengths/sources of division among actors.

Resources: Analyzing resources involves:

- identifying actors' assets and inventorying resources (e.g., time, information, authority, constituency base, connections to other influential actors, money, expertise, etc.) that actors control and can use to affect the decisions of others;
- identifying actors' liabilities, noting the resources that might be relevant but are not controlled by the actor; and
- comparing inventories of resources across actors to gauge their relative capacity and their potential ability to exercise influence.

Motivations: Analyzing motivations involves:

- gauging actors' willingness to mobilize their resources to influence decision outcomes; noting whether actors are likely to participate and to what extent;
- noting the ways in which the relative power of actors can be altered by variance in their willingness to expend resources to acquire influence; and
- noting the ways in which actors may be included or excluded from the decision-making arena and how their inclusion or exclusion affects the power dynamics.

Strategies: Analyzing strategies involves:

- identifying the scope of activities actors can engage in to influence decision outcomes (e.g., gaining access, framing issues, forging coalitions, controlling information, shifting arenas, managing symbols, expanding the scope of conflict, threatening to exit, etc.);
- gauging the gains and risks associated with various strategies; and
- identifying the skills associated with employing strategies effectively.

Settings: Analyzing settings involves:

- recognizing that settings are never neutral, that features of the particular arenas and the broader environment can operate to augment or diminish the resources, strategies, and incentives of actors; and
- identifying how sociocultural contexts and institutional features (e.g., norms, action channels, organizational habits, and histories) shape the interplay of influence among actors.

Interactions and Outcomes: Analyzing interactions and outcomes involves:

- identifying the relationships among actors that determine outcomes; and
- describing the distributional consequences of decision outcomes for actors and other relevant stakeholders.

Implications for Action: Developing implications for action involves:

- projecting the probable costs and consequences of expending resources to acquire influence in particular arenas; and
- determining how to proceed sensibly and effectively, given what is known about the power relationship.

NORMATIVE DIMENSION

Because policy disputes are rooted in value conflicts and managed through human interactions, value tensions and ethical questions are indigenous to this domain.

Policy choices determine the distribution of benefits and burdens in schools and society. Normative issues, therefore, are pervasive and important, especially for those who seek to exercise leadership. Political leadership requires that actors look beyond the viability of policy actions and political strategies to the desirability of policy options and the integrity of political interactions. Accordingly, it is imperative that principals understand the normative dimensions of policy analysis and political influence.

As political leaders or "ethical agents," principals can invoke a number of frameworks to examine normative issues and analyze value conflicts and ethical questions (Burns, 1978; Hodgkinson, 1983; Kimborough, 1985; Strike, Haller, & Soltis, 1988). The one outlined here draws primarily on an understanding of the major social values that dominate educational policy debates and related concepts associated with ethical interactions.

Major Elements of the Social Values Framework: This framework focuses on the tensions that arise from the multiple meanings and interdependent relationships embedded in the four major values that permeate educational policy debates: quality (excellence), equity, efficiency, and liberty (Bowles, 1989; Guthrie et al., 1988; Mitchell & Encarnation, 1984). As "ethical agents," principals use these categories to make explicit the various, oft times competing, principles for evaluating policy aims and actions. They also use them to identify the principles at stake in policy disputes, examine the trade-offs embedded in policy proposals and disputes, formulate judgments, and envision and advance courses of action that are congruent with morally defensible conceptions of these values.

Value Tensions—Conceptions of Dominant Social Values: Analyzing the multiple meanings of the major social values to identify principles for the purpose of evaluating policy aims and actions involves:

- recognizing that each major value embodies multiple referents and criteria for gauging the manner in which—or the degree to which—the value is realized;
- delineating referents and criteria associated with each value (e.g., equity for students as gauged by equal access or identical investment or comparable outcomes; equity for taxpayers as gauged by ability to pay or anticipated benefits; differential outcomes attributable to factors other than race, gender, income, and other nonrelevant variables, etc.); and
- articulating the referents and criteria used in making judgments about the manner in which values are affirmed, neglected, or diminished by various policy options and political actions (e.g., noting in terms of each value who benefits, who pays, in which ways, and to what degree).

Value Tensions—Interdependent Relationships among Values: Analyzing the interdependent relationships among values involves:

- recognizing that efforts to advance aspects of any value carry implications for all other values (e.g., efforts to advance equity have ramifications for liberty; efforts to advance quality have ramifications for efficiency);
- delineating the manner in which policy options and political actions affect aspects of major values; and
- articulating the value tensions

and dilemmas posed by policy options; identifying trade-offs embedded in various policy debates, negotiated settlements, or compromise proposals.

Judgments and Actions: Formulating judgments and developing appropriate courses of action involves:

- explicating the criteria used to select and defend actions in a context characterized by value tensions and ethical dilemmas; and
- articulating the manner in which these criteria guide difficult policy decisions (e.g., indicating which values take precedence, identifying proposal elements that are nonnegotiable, identifying when a negotiated agreement is a defensible settlement or an indefensible sellout, etc.).

Ethical Dilemmas: The social values framework identifies the value tensions and ethical dilemmas inherent in policy debates. Although it has implications for codes of conduct, ethical issues embrace related concepts. Often applied to judgments regarding means, these related concepts include, but are not limited to, views of honesty, integrity, respect, compassion, reciprocity, mutuality in human interactions, and collective endeavors (Burns, 1978; Hodgkinson, 1983; Strike et al., 1988).

KNOWLEDGE AND SKILLS

To use policies and political influence effectively, principals must possess knowledge and skills in the three areas below, each of which corresponds to the framework outlined in the political systems model.

POWER-SOLUTION DIMENSION

This dimension draws on the knowledge and skills acquired in the functional domains (e.g., Problem Analysis, Information Collection, Judgment, Implementation). It incorporates knowledge of key concepts drawn from the literature on policy analysis, namely the "theories of action" concept (to describe/assess how a policy alternative is supposed to affect a policy problem); the "web of policies" concept (to sensitize the analyst to the manner in which policies interact); and the "fit in schools" concept (to sensitize the analyst to the manner in which features of the organization, such as norms, habits, and histories, can numb and nullify or stimulate and support the policy). The analytic skills associated with this dimension are specified in the framework.

Examples of effective behaviors include:

- articulating (i.e., diagramming, explaining, or discussing) how policy actions are related to their stated aims;

- making conditional recommendations on policy alternatives that note the circumstances under which alternatives are likely or not likely to operate;
- identifying how policies may operate as opportunities and constraints in particular contexts; and
- questioning the basis for claims that various policy alternatives are promising options.

Ineffective behaviors include:

- asserting rather than demonstrating how policy actions are or are not viable options;
- making global summations regarding the ability of policy alternatives to work or not work;
- asserting that policies have singular effects; and
- accepting unsubstantiated statements about the promises of various policy alternatives.

POWER-RELATIONS DIMENSION

This dimension draws on the knowledge and skills acquired in the functional domains (e.g., Leadership, Information Collection, Judgment), interpersonal domains (e.g., Motivating Others, Oral and Written Expression), and contextual domains (e.g., Public Relations, Philosophical and Cultural Values). It incorporates knowledge about the concepts embraced by the framework and information on major actors at various levels of the system, their goals, resources, strategies, incentives for action, and their impact on education policy. This dimension also includes knowledge about interest group actors such as teacher associations, business alliances, private foundations, and community "influentials," as well as networks that mobilize around various issues in curriculum, testing, finance, student life, etc. In addition, it encompasses knowledge of community power relationships and the micropolitics of schools.

Incorporating the analytic skills noted in the definition of the framework, this dimension emphasizes:

- mapping political arenas and dominant perceptions of issues;
- designing politically feasible and viable proposals;
- mobilizing power resources to support or oppose policy proposals;
- mediating countervailing pressures through persuasion, compromise, and adaptation;
- anticipating responses and timing interventions; and
- adjusting strategies to accommodate issues, arenas, and process stages as well as the fluid, unpredictable nature of the dynamic (Bardack, 1978; Kanter, 1983; Kingdon, 1984; May, 1986; Mazzoni, 1992).

Effective behaviors include:

- developing profiles of power relationships in various arenas;
- describing influential actors in relational and contextual terms; and
- developing if-then scenarios for influencing issues in various arenas.

Ineffective behaviors include:

- assuming knowledge of power relationships;
- describing influential actors in isolated and global terms; and
- relying on static plans rather than developing if-then scenarios for influencing issues in various arenas.

NORMATIVE DIMENSION

This dimension draws heavily on the Leadership and Philosophical and Cultural Values domains (Domains 1 and 18, respectively). It incorporates knowledge of the broad social values that frame educational policy debates and related concepts associated with ethical interactions. It also requires moral and ethical reasoning skills as noted in the framework and more fully explicated in other sources (Strike et al., 1988).

Effective behaviors include:

- articulating the manner in which a policy action affects aspects of social values;
- assessing actions according to their ethical implications and instrumental consequences;
- envisioning policy options and political strategies that are congruent with both end-values (e.g., quality educational experiences for all students) and means-values (e.g., honesty, integrity, respect, reciprocity); and
- justifying actions in light of moral principles.

Ineffective behaviors include:

- asserting that a policy action advances particular values;
- evaluating actions solely or primarily in terms of their instrumental effects; and
- asserting that actions conform to moral principles.

PERFORMANCE STANDARDS

After completing this domain, principals should be able to:

1) articulate the general characteristics of political systems and the manner in which those major characteristics apply to school systems;

2) describe the formal relationship between federal, state, local district, and school-site policies;

3) identify the theories of action in an existing or proposed policy;

4) assess the means-end relationships embedded in policies in light of available evidence and develop conditional recommendations regarding the ability of policy options to attain their stated aims;

5) describe how an existing or proposed policy interacts with other policies and how it complements or challenges the norms and routines of the school;

6) describe how actors in various arenas are (or are not) able to acquire the relative power advantage on particular policy issues;

7) assess the conditions under which prominent political strategies are more or less likely to be effective;

8) develop if-then scenarios that outline alternative political strategies that could be employed to mobilize support for or resistance to particular policy proposals;

9) profile the power relationship in their local school setting and indicate how these power relationships affect the likelihood that particular proposals can be enacted and implemented;

10) articulate how policy options affect particular dimensions of quality, equity, efficiency, and liberty;

11) assess policy options and political strategies in light of their moral and ethical implications;

12) assess the political interests and ideals of relevant constituent groups inside and outside the school setting; and

13) define and defend the value premises and ethical principles that will guide and govern their behavior in political arenas.

EDUCATION AND TRAINING

Below are general suggestions for the development of instructional units in policy and political influences. These are accompanied by specific recommendations regarding dimensions of the model and their relationship to other knowledge domains.

GENERAL SUGGESTIONS

Conceptual/Analytic Emphasis: The overarching purpose of instruction is to develop the conceptual knowledge and analytic skills required to gain a foundational understanding of this complex domain to function responsibly within it and to continue learning about it. This can be achieved through formal study, informal reading, and reflective practice. Instruction can be centered in and organized around the broad concept of schools as political systems and the more focused frameworks identified in the model.

Clinical Relevance: Recognizing that conceptual rigor and clinical relevance are compatible and complementary objectives in principal preparation programs, instructional units should seek to:

- transmit knowledge of domain frameworks and their analytic categories, related questions, and underlying assumptions; and
- generate knowledge by giving trainees opportunities to apply the frameworks in real-life situations through activities that integrate the concepts and skills of the framework with field experiences.

Although these aims are discussed sequentially, they should be pursued concurrently, through combinations of pedagogical strategies adapted to the trainees' professional background and learning styles.

Pedagogical Strategies: Knowledge of the frameworks could be transmitted in a number of ways, including, but not limited to, lectures, presentations, readings that address the concepts, readings that illustrate the manner in which the concepts have been applied to issues of interest to students, discussions of the concepts, and discussions of the case examples. As citations in the body of this domain indicate, there are numerous readings that focus on elements of the frameworks and numerous examples that illustrate how these frameworks have been applied to prominent and salient topics (e.g., site-based management, accountability, curriculum, instructional groupings). Knowledge of the frameworks could also be developed more inductively, through critical readings of cases and/or careful analysis of incidents students have observed or experienced.

Opportunities to apply frameworks to real-life situations can take many forms: individual or group analyses of particular policy issues; case studies of political dynamics; explications of value tensions embedded in policy proposals or ethical dilemmas encountered in political exchanges; and analyses of events encountered in internships (Lindle, 1990, 1991).

SPECIFIC RECOMMENDATIONS

Problem-Solution Framework: This framework can come across as cumbersome and overwhelming to trainees because it requires that they take a comprehensive, "objective," empirical, and sometimes technical view of policy.

Thus, examples that demonstrate how the model generates important, pertinent insights are essential.

Fortunately, there are excellent examples that address high-interest issues. These include instructional grouping policies (Oakes, 1985, 1990; Shephard, 1991), site-based governance arrangements (Malen et al., 1990; Moore, 1991), choice proposals (Cohen & Farrar, 1977; Levin, 1989; Moore & Davenport, 1990), accountability systems (Baker & Stites, 1991; Cibulka, 1991), and approaches to interorganizational collaboration among schools and social service agencies (Kirst & McLaughlin, 1989). The resources illustrate the kinds of useful insights that can be acquired through a systematic analysis of policy alternatives. Other case studies illustrate the confusion and alienation that can occur when policy alternatives are promoted with little regard for careful assessments of the viability or qualified claims of policy benefits (Malen et al., 1990; Moynihan, 1969). These cases can be incorporated to underscore the relevance and significance of the problem-solution framework.

Because doing policy analysis is a fruitful method of learning policy analysis, assignments (i.e., papers) that require students to carry out a careful study of salient policy proposals would be a valid and valuable activity. Trainees could select a prominent policy initiative (e.g., competency tests for teachers, magnet school ventures, "schools within schools" plans, etc.) and examine the theories of action embedded in the intervention. They could assess the manner in which the intervention interacts with the existing "web of policies" and "fits" within the school context. Trainees also could identify a problem and develop a policy intervention to alleviate it. Suggestions are available for structuring assignments in accordance with the trainees' background experiences and learning styles (Bridges, 1989; Bridges & Hallinger, 1991).

Power-Relations Framework: This framework enables trainees to map power relationships within and across system arenas. Thus, it is a useful tool for organizing information about governmental and organizational actors.

Because principals may need to exercise influence beyond their schools to create conditions that foster quality teaching and learning in their schools, trainees should have a general understanding of relevant governmental units and their role in—and affect on—education policy. Summary depictions of governmental actors, intergovernmental relationships, and prominent interest groups could be used to give students important background information as well as to illustrate various categories of the framework (Campbell et al., 1990; Wirt & Kirst, 1989). More focused treatments of the role of the federal government (Clark & Astuto, 1986), state legislatures (Fuhrman, 1990; James, 1991; Marshall, Mitchell & Wirt, 1985), and local school boards (Burlingame, 1987; Tallerico, 1989) also are available. These sources, along with case studies of power-influence relationships in particular arenas, such as local districts (e.g., Kimborough & Nunnery, 1988) and school sites (Blase, 1991a; Malen & Ogawa, 1988), and/or around particular issues, such as choice proposals (Boyd & Kerchner, 1988; Mazzoni, 1991), curriculum and testing policies (Cibulka, 1991; Fuhrman & Malen, 1991; Shephard, 1991), site-based management (Malen & Ogawa, 1988; Malen et al., 1990; Moore, 1991), and other salient topics could be used to illustrate the key components of the framework.

Since doing analyses of power-influence relationships is a helpful method of learning about those relationships, mini-studies of various types would be reaonable and relevant requirements. For example, trainees—working individually or as a group—could be asked to conduct a study of a decision event in their school, district, or state. The event could be a site committee's decision to adopt a particular discipline plan, a curriculum committee's decision to recommend a particular textbook, a school board's decision to close a particular school or distribute contraceptives, or a legislature's decision to mandate school-based management, increase graduation requirements, or cap local levy options. Using documents, interviews, and observations, trainees would identify the key actors and their goals, resources, and strategies for influence. Trainees then could map the interactions and outcomes and use this analysis to develop insights about the ways in which power is acquired and exercised to affect the distribution of benefits and burdens.

Trainees also could develop a profile of power relationships in their organizations or communities. They then could assess the political feasibility of various policy proposals in light of these relationships or examine the political alignments surrounding specific issues.

In addition, trainees could be encouraged to analyze power-influence relationships in their workplace (Lindle, 1990, 1991). They could focus on the treaties that students and teachers develop in classrooms and how these treaties reflect the relative power of teachers and students. Trainees could focus on department, grade-level, or full faculty meetings to gauge how the issues raised within them reflect the groups' views and values of constituents within and outside the school. These analyses could help trainees:

- assess the interests and ideals of central actors;
- understand the multiple demands placed on schools; and
- understand power relationships and assess political strategies.

Normative Framework: An awareness of the multiple conceptions of social values, the many ways those values affect policy proposals, and the many ways policy proposals affect those values can be acquired through presentations, readings, and case stuides of the processes through which value tensions give rise to policy proposals and/or case studies of the actual impact of various policy actions on dimensions of social values. An understanding of value tensions and dilemmas also can be acquired through a systematic analysis of virtually any proposal in terms of its impact on equity, quality, efficiency, and liberty. Trainees could be asked to define the dimensions of each value, to identify the manner in which each is affected by policy proposals, and to develop a map of value implications.

Acquiring an understanding of how to act responsibly amid value tensions and ethical dilemmas is considerably more complicated than simply identifying tensions or charting dilemmas. Learning to delineate the principles at stake and to develop well reasoned judgments on matters of principle is a long-term process (Strike et al., 1988). (See also Domain 4, Judgment.) For this reason, trainees should be given opportunities to examine and reexamine these issues through discussions of the value tensions and ethical issues embedded in case studies of policy options and power-influence dynamics. (These could be developed by students or others.) Analyzing case problems through group discussion and written exercises would be helpful. In addition, trainees could be asked to develop and defend their positions on value tensions and ethical dilemmas to gain a clearer understanding of their own value positions and ethical principles, the processes of moral reasoning, and the elements and requirements of ethical argument and responsible action (Kimborough, 1985; Strike et al., 1988).

Integrative Requirements: Because this domain draws on virtually all the knowledge bases for the principalship identified by the National Policy Board, instruction must be integrated with that of other domains.

MEASUREMENT PROCEDURES

The knowledge and skills emphasized in this domain do not lend themselves to forced choice paper and pencil tests, simulated exercises, or singular indicators of competence. Rather, they more appropriately are assessed through portfolios that contain written evidence of a trainee's capacity to apply analytic frameworks to problems of practice and by interviews that focus on the trainee's capacity to develop well reasoned judgments regarding alternative courses of action.

PORTFOLIOS

The portfolio should contain documents that demonstrate the trainees' ability to analyze policy options systematically according to substantive viability, political feasibility, and social defensibility. Documents could include:

- a policy analysis paper prepared by the trainee or a critique of a policy analysis prepared by another program participant or a policy researcher;
- case studies of decision dynamics, profiles of power relations in organizations and communities, or assessments of various political strategies;
- essays that articulate the manner in which various policy alternatives affect the dimensions of social values;
- accounts of integrated projects, such as school improvement plans based on a systematic analysis of the dimensions of particular concern (viability, feasibility, desirability);
- explications/assessments of the role of various actors (e.g., federal governments, state legislatures; courts; interest groups, professional educators) in education policy making and the impact each has on quality, equity, efficiency, and liberty values;
- explications/assessments of the role(s) educators have played—or might play—in local and state decision arenas; explication of the resources and strategies that can influence education policy in these arenas; explication of the dimensions of leadership in these arenas; and
- analyses of field experiences, including descriptions of what occurred, how the trainee responded to the experience and why, a consideration of alternative courses of action, and a statement of insights or implications for future action.

INTERVIEWS

Interviews provide trainees opportunities to demonstrate their ability to analyze complex issues systematically through discussions of portfolio materials, analyses of case problems, and analyses of field experiences (via internship and/or employment). Interviews also provide opportunities for trainees to demonstrate their ability to develop well reasoned judgments regarding alternative courses of action.

STANDARDS

Standards for assessing portfolios and interviews include:

- explicit definition of the analytic perspectives employed;
- coherent reasoning;
- clear description/assessment of evidence considered;

- conditional judgments, interpretations, and assessments that reflect the evidence reviewed and the perspectives employed; and
- derived recommendations or assessments of alternative courses of action.

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PUBLIC RELATIONS

DOMAIN 21

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PUBLIC RELATIONS

DEFINITION

Public and Media Relations: Developing common perceptions about school issues; interacting with internal and external publics; understanding and responding skillfully to the electronic and printed news media; initiating and reporting news through appropriate channels; managing school reputations; enlisting public participation and support; recognizing and providing for various markets.

Public relations is more than writing press releases that communicate a positive school image. It is more than producing newsletters that keep parents abreast of organizational goals and activities or creating programs that reward student and staff performance. Ultimately—as Patrick Jackson, former president of the Public Relations Society of America, has said—it centers on building relationships that change attitudes.

Principals need to be able to change negative attitudes and build on positive ones to develop public support for education in general and schools in particular. This support must be earned with each day and school year, and public relations is the vehicle through which this occurs.

As a systematic management function, public relations requires sensitivity and careful planning. The National School Public Relations Association notes that it relies on two-way communications between schools and their internal and external audiences in order to successfully interpret public attitudes, identify and shape public policies and procedures, organize involvement activities, and disseminate information. Taken together, these initiatives stimulate a better understanding of the role, objectives, accomplishments, and needs of the school.

LITERATURE REVIEW

As increased public interest in education draws schools and their principals into the spotlight, public relations has become an essential leadership tool.

Literature on educational public relations identifies the following key components of effective programs:

They Are Built on a Plan: Public relations activities cannot be successful if implemented on a hit-and-miss basis. They must follow the Four-Step Public Relations Process outlined by Cutlip, Center, and Bloom (1985) and discussed in the knowledge and skills section below.

They Require a Community Focus: Effective school programs have a community focus that is based on open and honest relationships (Kindred, Bagin, & Gallagher, 1990). This focus is created by two-way communications with targeted audiences (e.g., opinion leaders, business people, senior citizens, etc.). Within these audiences are "key communicators," individuals whose opinions carry considerable weight within their communities. Generally, they are long-time residents who have many acquaintances and personal and professional contacts. Savvy principals communicate with these individuals consistently.

They Are Low-Cost, Practical, and Functional: Some corporations spend millions of dollars or more on public relations activities. By contrast, many of the best and most effective ideas in school programs are low-cost and practical in their focus (*School Public Relations: The Complete Book,* 1986; Armistead, 1986). Principals can build community support by publicizing school themes, implementing staff and student recognition projects, turning bulletin boards into communication vehicles, and having secretaries keep logs of incoming calls to determine parents' concerns. All of these activities can be powerful components of a school public relations plan.

They Require That Parents Play a Key Role in Relationships with Any School: Parents are their children's first teachers and remain a powerful influence on student attitude and performance throughout the school years. Yet, despite being strong partners in quality education (Canter, 1987), parents too often are taken for granted (*School Public Relations: The Complete Book,* 1986). Effective public relations activities draw them into the schools by keeping them abreast of programs and policies and by providing them with opportunities to voice their concerns and contribute their ideas and energies. (For a wealth of ideas on developing and strengthening relationships with parents, see Lee Canter's *Parent Conference Book* and *Parents Make the Difference*, a monthly newsletter published by the Parent Institute.)

They Recognize Staff Communication as the Starting Point For All Public Relations Activities: Many principals mistakenly believe that public relations is geared solely toward external audiences. Effective programs, however, emphasize staff relations and communications (Kindred et al., 1990; Seitel, 1989). School staff—be they teachers, secretaries, custodians, or bus drivers—are key communicators within their own communities. Principals, therefore, should share information openly with them in order to develop greater understanding and support among them. This is especially important if staff are to present and communicate a positive image of their schools to others.

They Manage Crises to Limit Damage to a School's Reputation: Crises are inevitable. If improperly handled, however, they can destroy overnight the favorable public opinions principals have worked long and hard to establish for their schools. As a preventive measure, principals must be prepared to handle crisis communications (Newsome, Scott & Turk, 1987; Jay, 1989). This requires that they designate a spokesperson to handle inquiries under fire, identify the key audiences whom they must contact immediately in a crisis, determine how information and data will be collected and communicated to the media, etc. These plans should be formulated and tested in advance.

They Require That Principals Work Effectively with the Media: All principals are likely to have dealings with the news media. Although they cannot control the outcome of these interactions, they can influence what will be reported and how it will be presented by establishing their credibility with reporters, editors, and publishers (Ordovensky, 1986). In addition, principals can use numerous techniques to convey a positive image of themselves and their schools (Flatt, 1991; Hannaford, 1986). These techniques include using appropriate dress and body language, inviting reporters to special events, and being prepared for interviews. For example, principals should enter interview situations ready to convey—forcefully, if necessary—important points related to the issue at hand. Basic media training is useful in this regard and helps principals maintain some control during media interactions.

They Utilize Technology to Improve Their Effectiveness: Technology can speed up and improve communications (*School Public Relations: The Complete Book*, 1986). Today's desktop publishing programs, for example, allow schools to create more attractive and effective publications; new telephone technologies offer principals quick and innovative ways to communicate with parents, staff, and students.

For principals who inherit schools that have no public relations programs in place, the following texts are recommended:

- *How to Start and Improve a Public Relations Program,* a pamphlet by Don Bagin published by the National School Boards Association;
- *The School and Community Relations* (Kindred et al., 1990), an exceptionally good general text for teachers as well as principals;
- *Effective Public Relations* (Cutlip et al., 1985), offered as the accreditation text by the Public Relations Society of America and the National School Public Relations Association, and is standard in the field; and
- *Public Relations Campaign Strategies* (Kendall, 1992), covers tax elections, referenda, and other campaigns and makes each come alive through examples, checklists, tables, and budget suggestions; also covers the four important components of a campaign: research, planning, implementation, and evaluation.

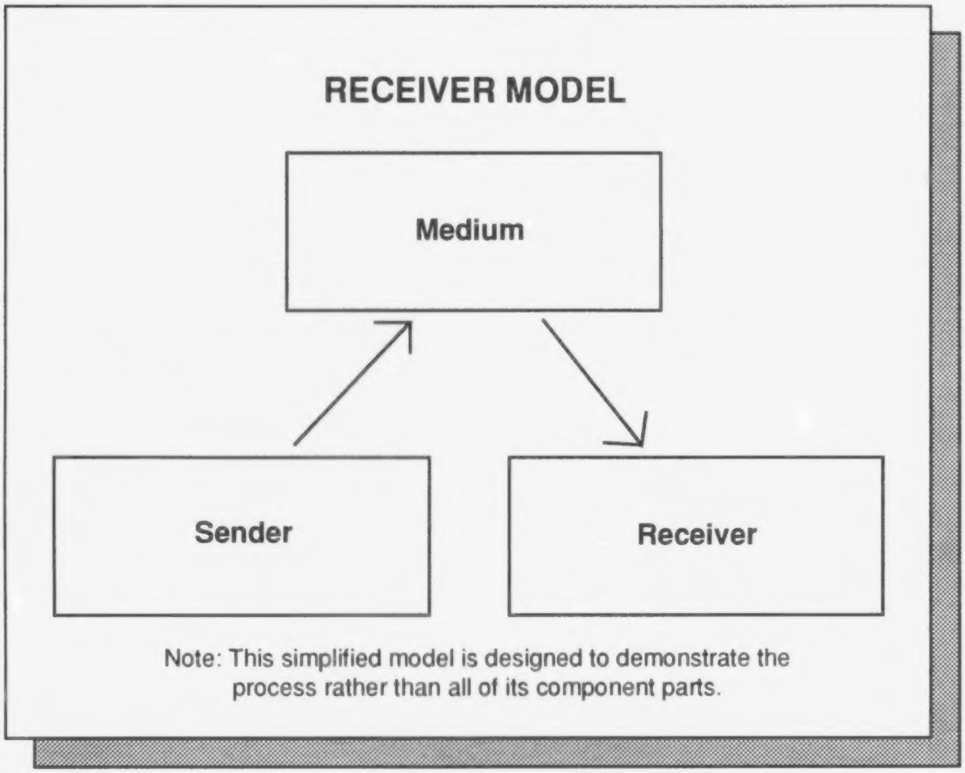
THE COMMUNICATIONS MODEL

The communications model shown in Fig. 21-1 generally has been accepted over the years, but is flawed when applied to public relations. (See Domain 16, Oral and Nonverbal Expression.)

According to the model, the sender may be either a person or an organization who has a message he/she/it wants to send to a receiver. The sender chooses the most appropriate transmission medium for sending the message from all available media (e.g., letters, flyers, bulletin boards, newsletters, newspapers, etc.) Some research likely will be required in order to select the best medium and mode and time of transmission. After the selection is made, the message is sent and the communication process is completed.

Figure 21-1 accurately depicts one-way communications as they occur in newspapers, brochures, newsletters, and the broadcast media. They are insufficient for public relations purposes, however, because they do not indicate whether a message has been received or how the receiver responded to it. Therefore, the communications model shown in Fig. 21-2 is recommended for effective public relations programs.

In this model, there are no senders or receivers; rather, there are transceivers, who can send and receive communications. Transceiver A initiates the process. He/she/it selects the proper time and


RECEIVER MODEL
Medium
Sender
Receiver

Note: This simplified model is designed to demonstrate the process rather than all of its component parts.

Fig. 21-1

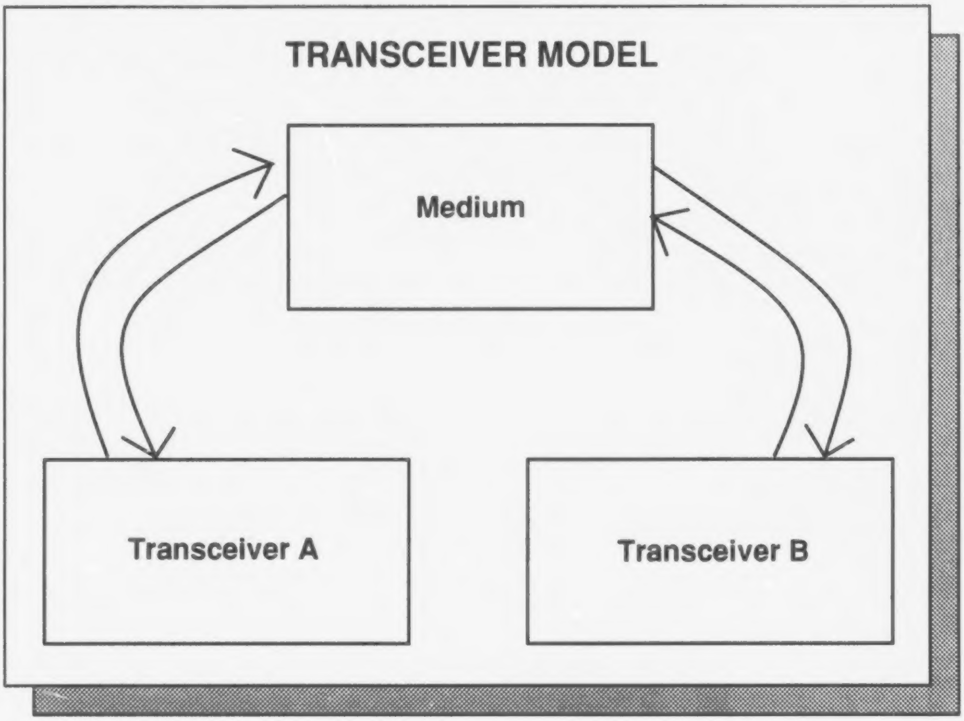

TRANSCEIVER MODEL
Medium
Transceiver A
Transceiver B

Fig. 21-2

method of transmission and sends a message to Transceiver B. Transceiver B receives and reacts to the message, then selects the proper time and method for transmitting a response. This process may appear complicated, but it accurately describes what happens during one-on-one communications.

Figure 21-2 is a highly effective communications model, which is not to say that one-way communications have no place in school public relations; principals, in fact, engage in numerous one-way communications every day (e.g., when they notify parents of an upcoming PTA meeting or contact radio stations during a snow emergency). It is to say, however, that two-way communications are at the heart of successful public relations programs. They not only help frame messages, but help elicit responses to them.

KNOWLEDGE AND SKILLS

Principals have no choice but to engage in public relations because, ultimately, they are responsible for building and maintaining the reputations of their schools. If their schools are to be viewed in a positive light, they must develop and implement effective programs.

Because principals lack the resources available in the private sector, it is crucial that their programs be low-cost, practical, and based on proven theory. The two essential theories of public relations are the Four-Step Public Relations Process and the Diffusion Process. Familiarity with each enhances a principal's success in reaching internal and external audiences.

The Four-Step Process consists of research, planning, communicating, and evaluating. During the research stage, principals identify key internal and external audiences, ascertain their level of knowledge, choose the most appropriate medium to reach them, and collect the information that will be communicated to them. During the planning stage, principals set measurable objectives, establish timelines and resources, and assign responsibilities for implementing the planned activities. During the communication stage, principals deliver their messages via brochures, newsletters, meetings, and through other appropriate media. Finally, during the evaluation stage, principals determine whether or not their messages have been received and their objectives met.

The Diffusion Process (Jackson, 1986; Cutlip, Center, & Bloom., 1985) allows principals to do more than communicate information; it enables them to change attitudes by identifying the five information-processing steps people take when making major decisions. They are:

1) *Awareness:* People first become aware of an idea, service, or product. General mass communications vehicles

such as newsletters, PSAs, ads, etc., are effective here.

2) *Interest:* People next want to find out details about the program, product, or idea. Mass communications, especially detailed ones, are still effective.

3) *Evaluation:* People now want to hear personal experiences about the program, product, or idea and may ask trusted friends about their specific experiences. Communications during this step must become interpersonal if they are to be effective.

4) *Trial:* At this point people want to experience the program, product, or idea personally. In a school setting, principals should encourage parents and community members to visit the school and see programs firsthand. These direct experiences move the visitor past the "trial" phase into something more substantial.

5) *Adoption:* During the adoption phase, people make a decision to act. For example, parents and interested community members might assist the school by volunteering or by participating in other activities. If school choice is involved, parents may decide to enroll their students.

(Some observers posit that there is a sixth step, reinforcement, whereby the institution initiates steps to solidify relationships by arranging additional contacts, suggesting new activities, or developing a recognition system.)

One-way communications work well during the first and second steps of the Diffusion Process; two-way communications must be employed during subsequent steps if public relations activities are to be effective.

EFFECTIVE AND INEFFECTIVE BEHAVIORS

When it comes to public relations, principals must be knowledgeable and committed. Too many principals maintain that public relations activities are unnecessary. Because they believe their work is admirable and that their mission is worthy, they assume public support will come automatically. Such an attitude invites trouble.

Effective principals take an active stance in creating and maintaining positive reputations for their schools; they view public relations as an essential leadership tool and are willing to learn the skills necessary to implement successful programs. Effective principals are honest and open in their communications. They understand that the more information people have, the more likely that they will feel valued, and the more likely they will support their schools. Ineffective principals, by contrast, see themselves as "the professionals," the people "in the know"; they do not believe others have the right to challenge their authority.

Effective principals recognize that problems are inevitable and talk openly about them. In fact, many effective principals initiate these discussions and are willing to share their ideas about how the problems originated and what is being done to correct them. Ineffective principals refuse to admit that they have problems.

Effective principals are clear and concise in their communications. They understand that there are senders and receivers for every message and that the receiver is the most important person in the communication. They use language that is clear, concise, and appropriate. Ineffective principals sprinkle educational jargon throughout their oral and written communications to impress others. They do not appreciate the role of the receiver in communications; they view their role, as senders, as being the most important.

Effective principals know that theory alone will not make them successful public relations practitioners. Additional skills and behaviors are required, and these are described in detail below.

Planning: Principals must know how to develop and implement public relations plans in accordance with the Four-Step Public Relations Process.

Key behaviors of effective principals include:

- identifying measurable objectives for communications activities and developing processes to evaluate the effectiveness of each; and
- writing a public relations plan for a specific project using the Four-Step public relations process.

Targeting Audiences and Messages: Today's public is bombarded with more messages than it can possibly remember, understand, evaluate, or act on. Therefore, it is essential that principals carefully target their audiences and messages. Targeting, unfortunately, is the most neglected phase in many school public relations programs.

To become skilled at targeting, principals should work with others to identify all of the school's internal and external audiences. That list should then be put in priority order according to which audiences should receive and understand important messages during a school year.

Key behaviors of effective principals include:

- differentiating between internal and external audiences; and
- identifying at least 10 internal and 10 external audiences and an important message for each.

Mass and Interpersonal Communications: Mass communications reach large numbers of people quickly and inexpensively and include such things as newsletters, bulletins, memos, calendars, and news releases. Although they are effective in making people aware of issues, they usually are ineffective in getting people to take action.

Accordingly, principals must use interpersonal communications as a tool to change attitudes. Interpersonal communications give listeners opportunities to ask questions and more fully explore issues. They include one-on-one contacts, speeches, and formal and informal meetings, among others.

Key behaviors of effective principals include:

- identifying the advantages and disadvantages of mass and interpersonal communications techniques; and
- identifying appropriate interpersonal and mass communications techniques for each step in the Diffusion Process.

Data Collection: Principals must be able to assess the knowledge level and attitudes of their various constituencies. Formal research is not necessarily required to accomplish this; however, principals should be skilled at interviewing, conducting focus groups, and designing simple surveys. More specifically, they should be able to identify the types of information that they need to develop effective public relations programs and the types of data collection methods available to them. Some of these methods are simple and easy to implement, such as having secretaries log incoming phone calls by topic area.

Key behaviors of effective principals include:

- identifying key types of information before constructing a public relations plan; and
- identifying three ways to collect data.

Communications Psychology: Principals must know what makes people tick if they are to change attitudes and motivate others to act. They also must be aware of the kinds of behaviors that create negative reactions in others. (See Domain 14, Motivating Others.)

Key behaviors of effective principals include:

- understanding the communications models found in Figs. 21-1 and 21-2; and
- understanding the concepts of source reliability, credibility, and barriers to communications.

Written and Oral Communications: To share information, principals must use the printed and spoken word. They must be able to write memos, letters, and other materials, as well as deliver speeches, lead group discussions, and communicate with others on a one-on-one basis. (See Domain 17, Written Expression, and Domain 16, Oral and Nonverbal Expression.)

Key behaviors of effective principals include:

- communicating in clear, concise, and appropriate language that is free of educational jargon; and
- writing understandable memos, business letters, newsletter articles, and news releases.

Staff Relations: Effective public relations begins with effective principal-staff communications. Principals must be skilled at communicating with all members of the school family: teachers, secretaries, custodians, and food service personnel, as well as volunteers, students, and district personnel. All of these individuals have daily contact with schools and can deliver positive—or negative—messages to others within and outside the school community. Their messages are more likely to be positive if principals provide them with adequate information, listen to their concerns, answer their questions, and make them feel like team players.

Key behaviors of effective principals include:

- identifying ways to provide complete, accurate information to all staff members in a timely manner; and
- implementing a program to obtain feedback from staff and to establish effective two-way communications.

Community Relations: A school is an important part of its community, and to a great extent, its reputation is built on its relationships within that community. Positive relationships evolve when a school is responsive to its constituencies and handles concerns in an honest and humane manner.

Effective principals implement public relations programs that involve all segments of their communities. In addition, they serve on and work with numerous civic and community groups.

Key behaviors of effective principals include:

- identifying community opinion leaders and establishing a network of key communicators;
- identifying written and oral techniques for transmitting information to and from their various constituencies; and
- identifying three ways to receive information from the community.

News Media Relations: Because of the public nature of education, principals will be involved with the news media throughout their careers. Accordingly, they should know how to work with and maintain positive relationships with reporters, editors, and publishers. Principals should know how to establish ground rules before interviews (e.g., when and where interviews will take place, whether they will be live or taped, what subjects they will cover, etc.). They should know how to anticipate questions and formulate answers that deliver the messages they want communicated; how to convey important information, even if it has not been requested; how to shift reporters' questions away from or toward certain subject areas; how to handle interruptions; and how to present a positive image through proper dress and body language. In addition, principals must understand the differences between the print and broadcast media.

Key behaviors of effective principals include:

- writing news releases and public service announcements;
- preparing and following the procedures for placing op-ed articles;
- identifying key steps in initiating positive relationships with reporters; and
- implementing strategies for broadcast interviews.

Crisis Communications: Because of societal pressures on today's schools, principals must be skilled at developing and implementing specific crisis communication plans. Such plans must be developed in advance to ensure that communications will be handled properly and that the school's reputation will be protected.

Key behaviors of effective principals include:

- identifying key elements in a crisis communications plan.

Technology: Today's technology makes it easier for principals to implement their public relations objectives. For example, a newsletter designed on a desktop publishing system will likely be more attractive and widely read than one produced on a typewriter and antiquated copying machine. Accordingly, principals should have a working knowledge of such systems and other technological advances, including those in the telecommunications field.

Key behaviors of effective principals include:

- identifying at least one use of telephone or desktop publishing technology.

PERFORMANCE STANDARDS

The standards below are developed through the training suggestions for this domain. Achievement of these standards indicates that a principal is competent in public relations, not that he or she is an expert in the field.

PERFORMANCE STANDARDS

After completing this domain, principals should be able to:

1) construct public relations plans for their schools that illustrate knowledge of the Four-Step Public Relations Process and the Diffusion Process;

2) identify their schools' internal and external audiences and design specific messages for each;

3) use mass and interpersonal communications techniques to influence people's attitudes;

4) use one or more techniques to assess a targeted group's level of understanding about a community issue or belief;

5) identify message strategies consistent with the morés of a targeted audience;

6) differentiate between understandable language and educational jargon;

7) define and implement programs in which all school staff are informed of school activities and have an opportunity to provide input;

8) identify the major opinion leaders within their communities;

9) understand how to initiate news coverage and respond to reporters' questions;

10) understand the special public relations needs that arise during crisis situations; and

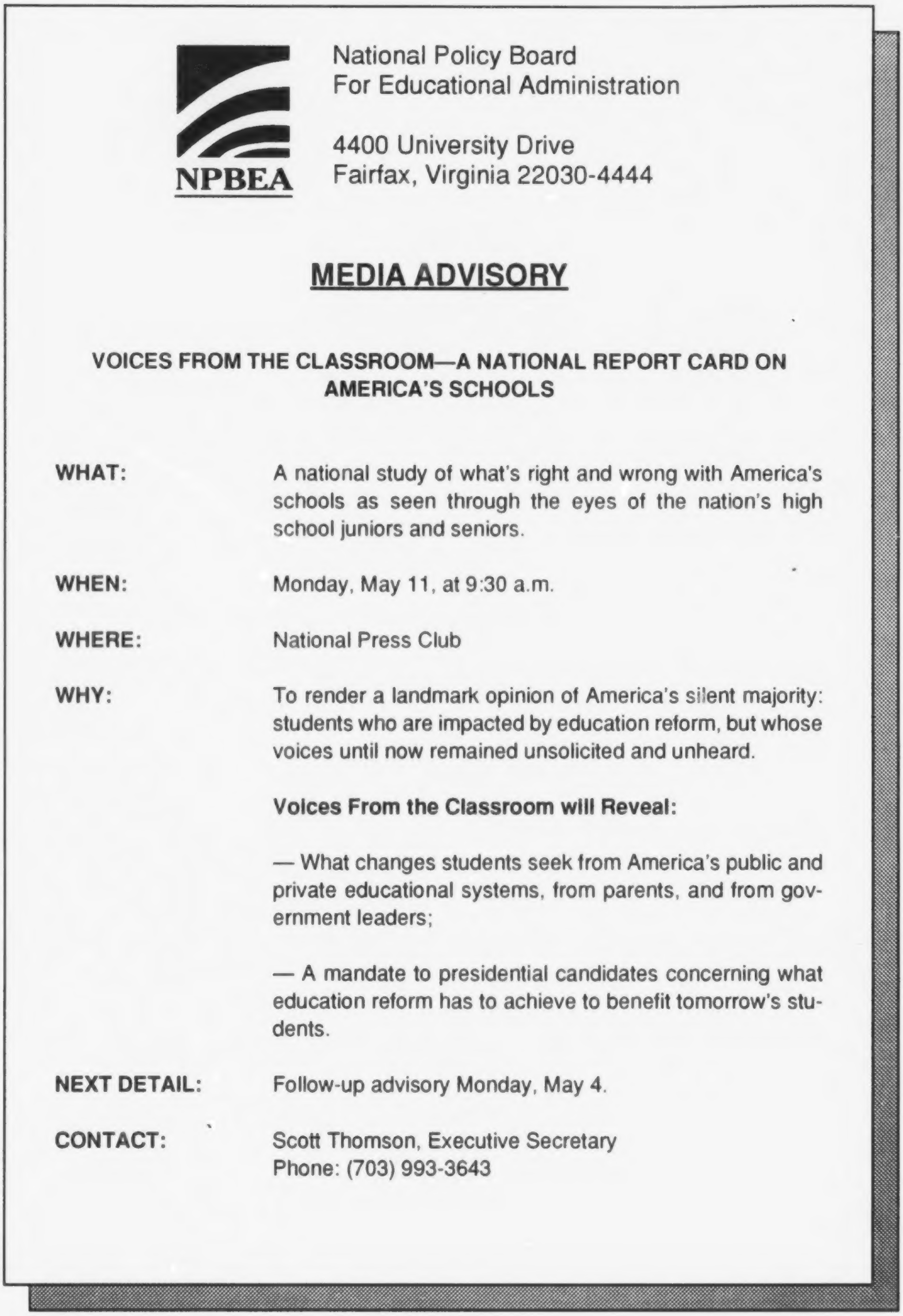
11) evaluate communication technologies that would be useful to their schools.

EDUCATION AND TRAINING

Professional development in public relations should include readings, simulations, and mentoring. Long-term professional development is essential to training given the fluid nature of public relations.

SIMULATIONS AND PRACTICE

Because public relations is a practical, people-oriented business, trainees must have ample opportunities to practice the skills they learned through their readings and from public relations professionals. One of the best ways to accomplish this is to involve trainees in role-playing situations. If trainers are not prepared to lead such simulations, they can contact local chapters of the Public Relations Society of America and/or the National School Public Relations Association for assistance. Trainers also can invite local corporate, agency, or educational public relations professionals to help prepare simulations or to serve as mentors. *The School Communication Workshop Kit,* which is available from the National School Public Relations Association, is an outstanding resource for trainers who want to provide trainees with experience in targeting audiences, setting appropriate public relations agendas, and implementing public relations



NPBEA

National Policy Board
For Educational Administration

4400 University Drive
Fairfax, Virginia 22030-4444

MEDIA ADVISORY

VOICES FROM THE CLASSROOM—A NATIONAL REPORT CARD ON AMERICA'S SCHOOLS

WHAT: A national study of what's right and wrong with America's schools as seen through the eyes of the nation's high school juniors and seniors.

WHEN: Monday, May 11, at 9:30 a.m.

WHERE: National Press Club

WHY: To render a landmark opinion of America's silent majority: students who are impacted by education reform, but whose voices until now remained unsolicited and unheard.

Voices From the Classroom will Reveal:

— What changes students seek from America's public and private educational systems, from parents, and from government leaders;

— A mandate to presidential candidates concerning what education reform has to achieve to benefit tomorrow's students.

NEXT DETAIL: Follow-up advisory Monday, May 4.

CONTACT: Scott Thomson, Executive Secretary
Phone: (703) 993-3643

Fig. 21-3

plans. (This exercise reflects performance standards 3, 5, and 8.)

WRITING EXERCISES

Writing a Media Advisory: A media advisory—as illustrated in Fig. 21-3—is a public relations tool to let media representatives know that an event or an activity is about to take place. It is not a news release, which is intended to be run in newspapers or aired on radio or TV.

In this exercise, trainees are asked to write an advisory about an upcoming curriculum committee meeting. They are to include the meeting essentials: who, what, when, where, why, and how, and to keep mention of each as brief as possible. They are to close the advisory with the daytime and nighttime telephone numbers of the person whom the media should contact for more information. (This exercise reflects performance standards 3 and 9.)

FACTS FOR PRESS RELEASE

Write a news release using the following information. Use only the relevant information:

John Smith has won first place in the state for extemporaneous speaking. He is a senior at Morningside High School.

Fred Brown announced the award Monday. He is the principal.

One hundred twenty students competed in the competition, which was held at Sunnyside High School in Phoenix, Arizona, where Fred Brown graduated 15 years ago.

John, who also is captain of the baseball team, won a $5,000 scholarship. He plans to play baseball at Ohio State University.

Mary Bonita is John's speech teacher, and Ralph Alexander is his baseball coach.

Last year, John won second place in this competition. This is the eighth time in the last 10 years that a Morningside High School student has won the award.

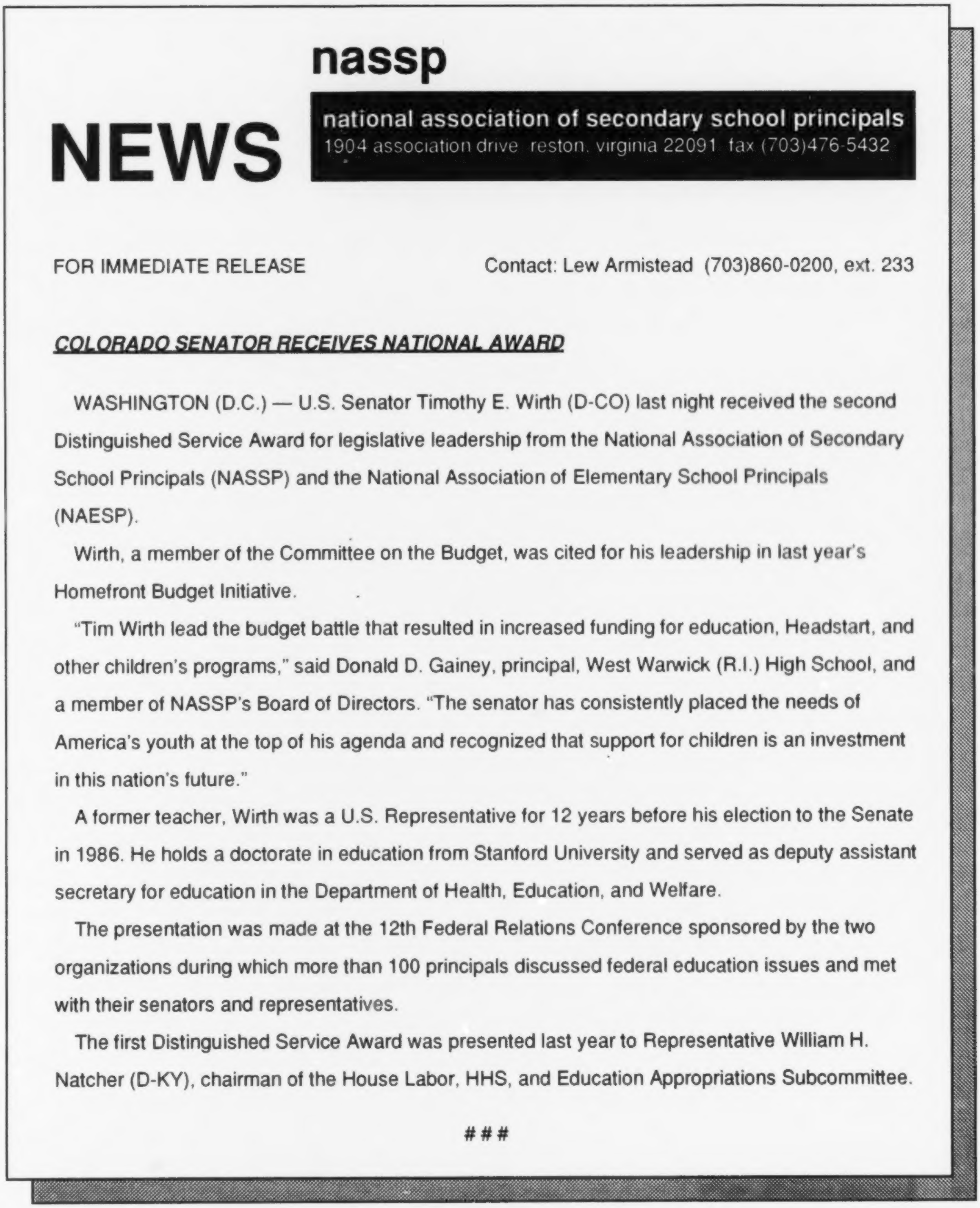
John has a 3.4 grade point average and is a member of the National Honor Society. He was president of the junior class.

Fig. 21-4

Writing a News Release: Trainees should be asked to submit news releases to local newspapers to keep the public aware of awards, upcoming meetings, and other school events.

As practice, trainees should be provided with a set of facts from which they are to write a release. (See Fig. 21-4 for a sample set of facts; see Fig. 21-5 for a sample of an actual press release.) The release should be written according to the principles outlined in Fig. 21-6.

Note: Editors often are forced to cut stories because of space restraints. In doing so, they typically begin at the bottom of a story and work their way up. Accordingly, trainees should follow the inverted pyramid format, which is standard in news writing. (See Fig.



nassp

NEWS

national association of secondary school principals
1904 association drive reston, virginia 22091 fax (703)476-5432

FOR IMMEDIATE RELEASE

Contact: Lew Armistead (703)860-0200, ext. 233

COLORADO SENATOR RECEIVES NATIONAL AWARD

WASHINGTON (D.C.) — U.S. Senator Timothy E. Wirth (D-CO) last night received the second Distinguished Service Award for legislative leadership from the National Association of Secondary School Principals (NASSP) and the National Association of Elementary School Principals (NAESP).

Wirth, a member of the Committee on the Budget, was cited for his leadership in last year's Homefront Budget Initiative.

"Tim Wirth lead the budget battle that resulted in increased funding for education, Headstart, and other children's programs," said Donald D. Gainey, principal, West Warwick (R.I.) High School, and a member of NASSP's Board of Directors. "The senator has consistently placed the needs of America's youth at the top of his agenda and recognized that support for children is an investment in this nation's future."

A former teacher, Wirth was a U.S. Representative for 12 years before his election to the Senate in 1986. He holds a doctorate in education from Stanford University and served as deputy assistant secretary for education in the Department of Health, Education, and Welfare.

The presentation was made at the 12th Federal Relations Conference sponsored by the two organizations during which more than 100 principals discussed federal education issues and met with their senators and representatives.

The first Distinguished Service Award was presented last year to Representative William H. Natcher (D-KY), chairman of the House Labor, HHS, and Education Appropriations Subcommittee.

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Fig. 21-5

21-7. (This exercise reflects performance standards 2, 6, and 9.)

Writing a Public Service Announcement: A public service announcement (PSA) is carried free of charge by radio and television stations and is an important way of getting school information to various external audiences. Because the PSA is intended for on-the-air use, students must keep in mind that it is written "for the ear"; that is, it is written to be spoken, not read. Accordingly, trainees should keep it simple and briefly include the essentials: who, what, when, where, why, and how. PSAs should be doubled-spaced and typed in all capital letters. They should not exceed one-half of an 8-1/2" by 11" page. (This exercise reflects performance standards 3, 5, 6, and 11.)

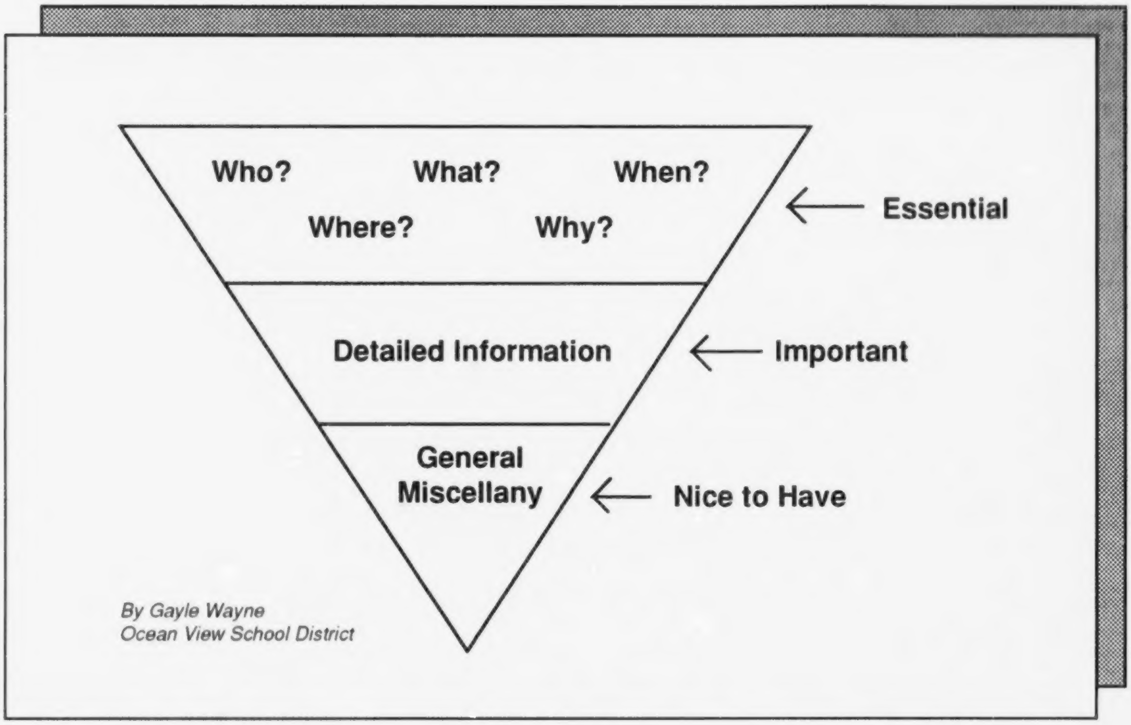
THE WORLD'S SHORTEST COURSE IN EDUCATIONAL JOURNALISM

- Use 8-1/2" by 11" paper. If your news release exceeds one page, begin page two on a new sheet of paper.
- Double space; use generous margins.
- Leave the top third of the first page blank, except for source information. Source information should be at the top left corner of the first page and should include the full name and address of your school, the contact person's name, and the contact person's daytime and nighttime phone numbers.
- Use short words, sentences, and paragraphs; go easy on the adjectives.
- Always use first and last names in your press release and fully identify every person mentioned.
- End each page with a complete paragraph.
- Keep the release short. If a second page is necessary, type "MORE" at the bottom and center of the first page; use any of the following marks to indicate the end of the release:

  ### -30- XXX ***
- Consider the deadlines of the local media when planning and writing your story. Get the story in as far in advance as possible.
- Send the story to your local reporter, by name.
- If your story has not appeared in the media, make a follow-up phone call to find out why it has not run; you may learn something that will help you the next time.

Fig. 21-6

Professional Growth: As society evolves, so does the field of public relations. Therefore, trainees must have opportunities to continue their professional development in this area and to keep abreast of new approaches and trends. These opportunities can be provided through membership in public relations organizations like the Public Relations Society of America (212-995-2230), the National School Public Relations Association (1-800-48NSPRA), or their local chapters. Opportunities also are available through mentoring relationships with practitioners and/or principals skilled in public relations. These mentors can offer trainees invaluable feedback, ideas, and words of advice during crisis periods. (Some of the most important people to contact in this regard are the public relations professionals employed by the trainees' respective districts.)



By Gayle Wayne
Ocean View School District

Fig. 21-7

Trainees also can look for pro bono public relations advice and assistance from local corporations or public relations agencies. In addition, schools can establish advisory committees that include these individuals. (This exercise reflects performance standards 1, 4, 8, and 11.)

MEASUREMENT PROCEDURES

Public relations competency can be assessed in various ways. For example:

Pen and Pencil Examination: Trainees can be tested on the distinct stages of the Four-Step Public Relations Process and Diffusion Process. They also can be evaluated on the quality of a public relations plan they prepare for a hypothetical school or school district as a case study exercise.

Peer Review: Trainees can be asked to prepare a list of the internal and external audiences their schools serve and to design an appropriate mass and interpersonal media initiative for each audience. A panel of peers from the district can review, question, and comment on the presentation.

Data Collection: Since most public relations activities are based on some form of data collection, students can collect data on a problem or series of problems identified by them, a mentor, or the school district. Experienced professional staff then can review the quality of the project. Criteria would include the quality of the questions asked, the value of the data, and the degree of technology employed in collecting and analyzing data.

Performance Tests: Trainees should write news releases and make brief presentations on typical school topics for evaluation by cohort groups and instructors using a common rating form. These sessions may be videotaped for self-evaluation and further practice.

Community Plan: Trainees can form a key communicators group in their schools' attendance area to evaluate the effect of their schools' public relations programs. Trainees can be rated on their thoughtfulness and initiative in forming the group, on the quality of the feedback, and on hypothetical responses to the information gained.

Crisis Plan: Trainees can develop and be evaluated on a crisis communications plan for their schools. Reviewers can include public relations professionals in the community, media personnel, and school officials.

Media Rehearsal: Trainees can be interviewed by experienced media personnel on simulated or authentic issues and critiqued by them as to the quality of content and process as reflected by the interview. These exercises also can be conducted in class and evaluated by panels using common instruments.

SUGGESTED READINGS

To learn more about public relations theory and practice, students are referred to the books and periodicals below:

Four-Step Public Relations Process:

Armistead, L. (1989). A four-step process for school public relations. *NASSP Bulletin, 73,* 6–13.

Cutlip, S., Center, A., & Bloom, J. (1985). *Effective public relations.* Englewood Cliffs, NJ: Prentice-Hall.

Kendall, R. (1992). *Public relations campaign strategies.* New York: Harper Collins.

The Diffusion Process:

Baskin, C. (1988). *Public relations: The profession and the practice* (pp. 150–155). Dubuque, IA: William C. Brown Publishers.

Cutlip, S., Center, A., & Bloom, J. (1985). *Effective public relations* (pp. 150–155). Englewood Cliffs, NJ: Prentice-Hall.

Jackson, P. (1986). How to build public relationships that motivate real support. *NASSP Bulletin, 70,* 25–31.

Planning:

Ascough, L. (1986). Managing the school PR effort: Not an impossible task. *NASSP Bulletin, 70,* 14–18.

Cutlip, S., Center, A., & Bloom, J. (1985). *Effective public relations.* Englewood Cliffs, NJ: Prentice-Hall.

National School Public Relations Association (1986). *School public relations: The complete book.* Arlington, VA: National School Public Relations Association.

Targeting Audiences and Messages:

Kindred, L., Bagin, D., & Gallagher, D. (1990). *The school and community relations* (pp. 18–42). Englewood Cliffs, NJ: Prentice-Hall.

National School Public Relations Association (1986). *School public relations: The complete book.* Arlington, VA: National School Public Relations Association.

Mass and Interpersonal Communications:

Kindred, L., Bagin, D., & Gallagher, D. (1990). *The school and community relations.*Englewood Cliffs, NJ: Prentice-Hall.

National School Public Relations Association (1986). *School public relations: The complete book.* Arlington, VA: National School Public Relations Association.

Data Collection:

Broom, G.M., & Dozier, D.M. (1990). *Using research in public relations.* Englewood Cliffs, NJ: Prentice-Hall.

Frey, L.R., Botan, C.H., Friedman, P.G., & Kreps, G.L. (1991). *Investigating communications: An introduction to research methods.* Englewood Cliffs, NJ: Prentice-Hall.

National School Public Relations Association (1986). *School public relations: The complete book* (pp. 205–206). Arlington, VA: National School Public Relations Association.

Communications Psychology:

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